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THE UTILIZATION AND EFFECTIVENESS OF TREATMENT AND MEDIATION FUNCTIONS IN ADULT PAROLE

DISSERTATION

Presented in Partial Fulfillment of the Requirements for the Degree Doctor of Philosophy in the Graduate School of The Ohio State University

By

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1971

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PLEASE NOTE:

Some pages have indistinct print. Filmed as received.

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Interest and assistance have been extended to me in many ways. I have been the fortunate recipient of both "treatment" and "mediation" from many persons; that support and helpfulness has been genuinely appreciated.

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For several months the pleasures and duties of husband and father have given way to the work of this study. Here I can merely convey a warm "thank you" to my wife, Pat, for her devoted encouragement, and to Mark, Matt, Andy and Mary Beth for an understanding greater than their years.
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# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACKNOWLEDGMENTS</td>
<td>ii</td>
</tr>
<tr>
<td>VITA</td>
<td>iii</td>
</tr>
<tr>
<td>LIST OF FIGURES</td>
<td>vi</td>
</tr>
<tr>
<td><strong>Chapter</strong></td>
<td></td>
</tr>
<tr>
<td>I. THE PROBLEM</td>
<td>1</td>
</tr>
<tr>
<td>Problem to be Studied</td>
<td>1</td>
</tr>
<tr>
<td>Background to the Problem</td>
<td>1</td>
</tr>
<tr>
<td>Significance of the Study</td>
<td>5</td>
</tr>
<tr>
<td>II. REVIEW OF THE LITERATURE</td>
<td>6</td>
</tr>
<tr>
<td>Perceptions of Offenders</td>
<td>6</td>
</tr>
<tr>
<td>Traditional and Innovative Helping Roles</td>
<td>8</td>
</tr>
<tr>
<td>The Value Base for Mediation</td>
<td>17</td>
</tr>
<tr>
<td>Studies in Probation and Parole Supervision</td>
<td>18</td>
</tr>
<tr>
<td>III. THEORY, ASSUMPTIONS, AND HYPOTHESES</td>
<td>26</td>
</tr>
<tr>
<td>Theory and Assumptions</td>
<td>26</td>
</tr>
<tr>
<td>The Hypotheses</td>
<td>28</td>
</tr>
<tr>
<td>IV. METHODOLOGY</td>
<td>30</td>
</tr>
<tr>
<td>The Study Overview</td>
<td>30</td>
</tr>
<tr>
<td>Setting in Which the Study Takes Place</td>
<td>32</td>
</tr>
<tr>
<td>Data Collection</td>
<td>33</td>
</tr>
<tr>
<td>V. PRESENTATION OF FINDINGS</td>
<td>36</td>
</tr>
<tr>
<td>Characteristics of Participating Parole Officers</td>
<td>36</td>
</tr>
<tr>
<td>Parole Officer Success, by Parole Violation Rate</td>
<td>41</td>
</tr>
</tbody>
</table>
TABLE OF CONTENTS (Continued)

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parole Officer Effectiveness, as</td>
<td></td>
</tr>
<tr>
<td>Adjudged by Agency Staff Member</td>
<td>45</td>
</tr>
<tr>
<td>Treatment and Mediation Emphases</td>
<td>47</td>
</tr>
<tr>
<td>VI. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS</td>
<td>59</td>
</tr>
<tr>
<td>The Problem</td>
<td>59</td>
</tr>
<tr>
<td>Purpose of the Study</td>
<td>59</td>
</tr>
<tr>
<td>Methodology and Design</td>
<td>60</td>
</tr>
<tr>
<td>Summary of Findings</td>
<td>61</td>
</tr>
<tr>
<td>Implications for Research, Practice and Theory Building: Recommendations</td>
<td>64</td>
</tr>
</tbody>
</table>

APPENDIX

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>APA OFFICER DATA FORM</td>
</tr>
<tr>
<td>B</td>
<td>TREATMENT-MEDIATION SCALE #1</td>
</tr>
<tr>
<td>C</td>
<td>TREATMENT-MEDIATION SCALE #2</td>
</tr>
<tr>
<td>D</td>
<td>PAROLE OFFICER PARTICIPATION REQUEST LETTER</td>
</tr>
<tr>
<td>E</td>
<td>SUPERVISOR ASSISTANCE REQUEST LETTER</td>
</tr>
<tr>
<td>F</td>
<td>PAROLE OFFICER PARTICIPATION SECOND REQUEST LETTER</td>
</tr>
<tr>
<td>G</td>
<td>PAROLE OFFICER PARTICIPATION THIRD REQUEST LETTER</td>
</tr>
<tr>
<td>H</td>
<td>GUIDELINES FOR JUDGING TAPED INTERVIEWS OF PAROLE OFFICERS</td>
</tr>
<tr>
<td>J</td>
<td>INSTRUCTIONS FOR JOB EFFECTIVENESS RANKING OF PAROLE OFFICERS</td>
</tr>
</tbody>
</table>

BIBLIOGRAPHY

v
<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Parolee Violation Rate of Respondent Parole Officers</td>
<td>42</td>
</tr>
<tr>
<td>2.</td>
<td>Parolee Violation Rate and Selected Parole Officer Characteristics, In Order of Greatest Association</td>
<td>44</td>
</tr>
<tr>
<td>3.</td>
<td>Effectiveness Rating of Parole Officers and Selected Officer Characteristics, In Order of Greatest Association</td>
<td>46</td>
</tr>
<tr>
<td>4.</td>
<td>T-M Scale #1 Item Responses: Number of Mediation and Treatment Responses, Mean, Item Analysis Correlation Level, and Correlation Level of Significance</td>
<td>49</td>
</tr>
<tr>
<td>5.</td>
<td>T-M Scale #2 Item Responses: Mean and Standard Deviation, By Item Analysis Correlation Level</td>
<td>51</td>
</tr>
<tr>
<td>6.</td>
<td>Parole Officer Mediation Emphasis in Two T-M Scales (Using a T-M #2 of Fifty Items)</td>
<td>52</td>
</tr>
<tr>
<td>7.</td>
<td>Parole Officer Mediation Emphasis in Two T-M Scales (Using a T-M #2 of Thirty Items)</td>
<td>53</td>
</tr>
<tr>
<td>8.</td>
<td>Use of Mediation and Selected Parole Officer Characteristics, By T-M Scales #1 and #2</td>
<td>56</td>
</tr>
<tr>
<td>9.</td>
<td>Use of Mediation and Parolee Violation Rate, By T-M Scales #1 and #2</td>
<td>57</td>
</tr>
<tr>
<td>10.</td>
<td>Use of Mediation and Officer Effectiveness Rating, By T-M Scales #1 and #2</td>
<td>57</td>
</tr>
</tbody>
</table>
CHAPTER I

THE PROBLEM

Problem to be Studied

The central concern of this study is for more effective supervision of adult parolees, by parole officers. Specifically, the study examines the treatment and mediation functions of parole officers. It seeks to determine the relative effectiveness of parole officers who emphasize one function more than the other.

Background of the Problem

The criminal justice system of today is not the product of our time alone. Centuries of social tradition here and abroad have provided our society with conflicting values and practices concerning those who are selected for labeling as "criminal." The institutions and terms "penitentiary" and "reformatory" are a part of current values and practices. Demands for penitence and reformation are a part, as are vengeance and punishment. But, in recent years a new humanitarianism and concern for fairness have joined and partially moderated harsher attitudes. Also, the "scientific approach" which has become an important base for business, industry, and medicine has now penetrated the human service fields and has given impetus to the "clinical" approach to deviance. Correctional programs
of treatment and embryonic community integration efforts, in addition to punishment and restraint are now seen. The pattern is similar to that observed in the mental health and public assistance fields. These changes have been the result of society's shifting values and problem definitions. The recent cry for "law and order," however, has been interpreted by some as a reversing shift in values, which will again place an increased emphasis on punishment.

Parole, as a part of corrections, is the product of those same shifting, often conflicting values. Parole exists for the purpose of somehow influencing the released prisoner to conduct himself in a socially acceptable, crime-free way. How to best effect this goal is the challenge which faces the parole agency and its staff. As a part of the larger community, parole has also incorporated mixed and conflicting values and problem definitions. To some parole agencies and agents parolees are regarded as essentially "bad" persons. Such officers tend to view their charges with disdain and distrust. They carefully watch for misconduct and react with punitive measures. Other parole workers regard offenders as "sick." The workers, perceiving themselves as possessing a "scientific" understanding of individual behavior tend to emphasize clinical, diagnostic problem definitions and procedures with their clients. They generally explain crime in psychological terms, believing that past and potential trouble lie "within" the parollee. They rely heavily on counselling techniques in an effort to bring about their client's "adjustment." Still other officers, apparently few in number, perceive criminal
behavior as being primarily the result of social and economic deficiencies. Although these three perceptions and job orientations have been described separately, it may be observed that many correctional and parole workers possess each to a degree. Observation of a worker's activities usually reflects an emphasis on one of the three but will likely reveal some utilization of all of them. Each worker seems to possess a hierarchy of intervention strategies. There is much evidence that questions of problem definition and worker strategy in a given parolee situation raise difficult and perplexing questions concerning prescriptive action for the parole officer. Possessing multiple values and problem perceptions, the officer is unsure of his diagnosis and is therefore unsure in his prescription and practice. He may thus vacillate among treatment, punishment and integration procedures with his clients. As parolees perceive these shifts they variously react with confusion, frustration, hostility, mistrust, alienation and, all too frequently, conduct which constitutes parole failure.

Thus parole today, like all of corrections and other human services of our time, is the highly mixed product of multiple values and problem definitions. The mixture is reflected in worker qualification requirements, which vary widely, variously emphasizing backgrounds in teaching, social work, psychology, law enforcement, and others. The program efforts of these persons tend to reflect their widely differing orientations. Punishment, restraint, treatment, and a few integration programs and procedures often exist together within
a parole agency. However, it is the researcher's observation that parole is increasingly recognizing that its clients are influenced by adverse conditions around them, and that parole has a responsibility for dealing with those conditions. Problem recognition today more frequently includes such factors as great economic need, a destructive marital relationship, or the extended absence of real vocational opportunity. Parole is thus expanding its problem definition and programs to include what may be the start of a systems approach, still viewing the offender, but in relation to human and material resources which he needs.

Current literature and practice of social work reflect an expansion of strategies and functions by workers in a number of human service fields. Examples include the recent emphasis on utilization of volunteers and employment of indigenous persons in various fields. Several writers have discussed the current inadequacy of traditional social work roles of caseworker, group worker, and community organizer. Briar, Brager, and Schneiderman are among those who have suggested new worker roles, to enable more effective social functioning.  

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Significance of the Study

The cost of parole failure, in both human and monetary terms, is very great. Parole failure constitutes a significant part of the major social problem of crime. Any findings which bear upon the enabling of greater parole success could lead to significant benefit by individual offenders, parole agencies and their staff members, and the community-at-large. This research explores the relative effectiveness of the two major helping roles of parole officers, the mediation and treatment roles. For purposes of the study parole officer effectiveness is determined by (1) a supervisor's rating of the officer, and (2) the proportion of parolees receiving his assistance who successfully complete their period of parole. It will be noted that the two methods used in determining effectiveness are independent of each other. The mediation role refers to those parole officer activities which are directed at increasing the availability and accessibility of parolee socio-economic opportunities and resources. The treatment role refers to those activities by the officer which are intended to increase the parolee's ability to adapt to his socio-economic situation, regardless of the adequacy of that situation.
CHAPTER II

REVIEW OF THE LITERATURE

The President's Crime Commission has reported survey findings that ninety-one percent of Americans have committed unlawful acts, for which they could have been confined for one year or longer.\footnote{President's Commission on Law Enforcement and the Administration of Justice. The Challenge of Crime in a Free Society, (Washington: Government Printing Office, 1967), p. v.} One might therefore question what differences there are, if any, between adjudged criminal offenders and those citizens who have no criminal records. This researcher has observed the great frequency of what may be a key difference: the relative absence of various kinds of basic social and economic resources on the part of convicted offenders. There is overwhelming evidence and general agreement among correctional students and practitioners that convicted offenders, as a group, have not participated in, nor benefitted from major social institutions to the extent that other persons have.

Perceptions of Offenders

In 1916 Willem Bonger noted that "... much crime is, of course, due to poverty. The relationship is both direct (as in theft out of desperate need) and indirect: poverty (taken in the sense of
absolute want) kills the social sentiments in man, destroys in fact all relations between men... The potency of economic want as a factor in crime causation is mainly determined by whether or not poverty is experienced as relative deprivation in a social context... wherein people are taught to equate economic advantage with intrinsic superiority and disadvantage with inferiority...

More than a half century later Karl Menninger vividly described the socio-economic exclusion which released prisoners experience:

... aside from a few uneasy relatives and uncertain friends, he (the offender) is surrounded by hostility, suspicion, distrust, and dislike. He is a marked man - an ex-convict... The unequal tussle with smarter, "nicer," and more successful people begins again. Proscribed for employment by most concerns, and usually unable to find new friends or ways of earning a living, he tries to survive. His chief occupation for a time will be the search for a means of livelihood, accompanied by innumerable rebuffs, suspicious glances, discouragements and hostile encounters and, of course, inevitably temptations... (including) the friendly face of some crony of the old days who has been waiting for a little help to do a little job.

Do the churches reach out to take him in? Do business firms recruit him? Do the labor unions quickly take him in and help find him a job? Does the country club give him a locker? Does any but the lowest class restaurant and rooming house welcome so unprepossessing, shabbily dressed, and often ill-favored an individual?

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Traditional and Innovative Helping Roles

Society defines criminal behavior in terms of the individual's transgression against his community. Such a problem definition has naturally led to "programs" which seek to deal with the offending individual in some fashion: confinement, punishment, torture, execution, threats, counsel, education, and so forth. All of these attempts may be broadly termed "treatment" in that their purpose is to bring about reformation, change, or "adjustment" in the offender. Those persons in charge of these measures seek to effect the offender's non-criminal adaptation to his social surroundings in the future. To this end a multitude of persons and agencies in our criminal justice systems have devoted their efforts. Social workers in corrections, prison counselors, psychologists, and psychiatrists, probation and parole officers have joined police, prosecutors and judges in diverse treatment efforts which attempt to enhance the adaptive capacities of offenders. One may criticize the very limited extent to which enlightened social treatment knowledge and resources have been utilized. Such is an important question and needs to be openly considered. But the larger point being made here is that the many correctional measures to date have been almost exclusively "treatment" oriented; their object has been change and adjustment of the offender to his social circumstances, regardless of the adequacy of those circumstances. Through its criminal justice agencies society has utilized many resources, including the skills of social workers to
bring about offender adjustment to unemployment, untenable family situations, poverty, mental illness, community ostracism, legal vulnerability, governmental agency abuse, and political impotency. While he has been alternately lectured, threatened, and counseled, his circumstances, as described above, have been largely ignored.

The treatment model, also often referred to as the medical, disease, or clinical model, has become extremely attractive to progressive correctional workers, including social workers and probation and parole officers. These practitioners typically tend to be psychiatrically oriented:

... the psychiatric approach to delinquency has so overshadowed our thinking (in probation and parole) that many of us seem to forget that human behavior is also affected by non-psychic factors.
... some advocates of probation believe that the offender is rehabilitated only when he is treated.
... when (workers) complain of their failure to instill insight (via treatment) the workers downgrade the very things they are successful in doing - helping someone get a job, be readmitted to school, find a place to live, or establish eligibility for welfare, medical treatment, etc. These and other concrete services are what many probationers need more than insight. When we attach to these practical services the dignity and importance they deserve our probation staff will function more freely, without the guilt feelings they are now expressing. ... The time has come for us to define more accurately just what variety of tasks must be executed, what variety of knowledge and skills is required, and what job structure or classification scheme will be needed for us to perform the variety of functions we have accepted as our assignment. ... 7

---

Briar decries the narrowness of the clinical model of psychiatry. He charges that social work has "retreated to therapy" and has thereby highly constricted the original, broader casework functions: educator, advocate, therapist, social broker, social reformer. Briar emphasizes the problem by making two major criticisms of treatment oriented casework: (1) it excludes many persons who need help because they are often not interested in an indefinite number of interviews, with no end in sight, and (2) casework is often perceived as not effective, even for those who are disposed to use it.

Wallace, Briar, and others have thus called for assistance of a sort that will seek out and make available to offenders the basic social resources which are so often relatively unavailable. Such a function has many elements of mediation, the worker acting as a mediator in the various social system institutions, for the benefit of his client. Such a function is, in many respects, similar to that of the ombudsman, found in certain European countries, and whose duties are to:

... mediate between the citizen and public agencies ... to keep himself informed as to whether any person under his jurisdiction (i.e., any civil servant) pursues unlawful ends, makes arbitrary or unreasonable decisions, or otherwise commits mistakes or acts of negligence in the discharge of his duties.  

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9 Ibid., 6.
10 A. W. Cohn, "Managing Change in Corrections," Crime and Delinquency, April, 1969, p. 117.
Thursz argues that the knowledge and skills of social workers equip them to carry out ombudsman-like mediation activities:

... too many social workers assume that the client is the primary target of change. Change may have to occur in many other parts of the social system in which the client lives before his problem is handled. The social worker may have to focus his intervention not on the client with the problem, but on the landlord, or the police, or indeed on the economic system.11

Thursz regards social workers as possessing expertise in understanding and dealing with our complex institutional bureaucracies. He sees them as needing to assist socially ill-equipped clients in dealing with the bureaucracy to obtain goods and services to which they are entitled. Wilensky and Lebeaux may have been the first to apply the term "mediation" to the role of social intervention on behalf of clients. They regarded social work as:

... an example, par excellence, of the liaison function, a large part of its total activity being devoted to putting people in touch with community resources they need but can hardly name, let alone locate ....12

Other writers have extended social intervention, on behalf of an individual client, beyond mediation activities, as they have been described above.

... (the caseworker-advocate is) his client's supporter, his adviser, his champion, and, if need be, his representative in his dealings with


the court, the police, the social agency, and other organizations that (affect) his well-being. 13

Thus the advocate seeks not merely to bring together needful client and social resource. He seeks also to assure a "solid connection."

Acting as a representative of his client, he uses whatever legitimate strategies are necessary to "open-up" agencies or institutions so that client needs may be met. In 1965 Grosser wrote of the advocate and broker roles. Concerning the former he said that the worker using this technique:

... is not enabler, expert, consultant, guide, or social therapist. He is, in fact, a partisan in a social conflict and his expertise is available exclusively to serve client interests. 14

Grosser's advocate is a highly directive role, often necessary because individuals and social institutions may be hostile to the client and his needs. Specific techniques of the advocate include:

... eliciting information, arguing the correctness of a position, and challenging the stance of the institution. 15

In "An Effort at Reconceptualizing Social Work Methods"

Schneiderman points out that the profession's goal is the enhancement of social functioning and interactional functioning and that all social


15 Ibid.
functioning, then, is concerned with people in groups. Since social workers are always intervening in the group life of a person the traditional concepts of individuals, groups and communities seem less useful. Schneiderman therefore suggests interventive approaches of three types: (1) modification of individual need or functioning capacity (treatment, as discussed above), (2) modification of situational expectations and opportunities, to bring them within the range of needful individuals (Schneiderman regards this approach as including, but not being restricted to mediation, as described by Wilensky and Lebeaux), and (3) a combination of (1) and (2). In the Reconceptualization paper Schneiderman sets forth six "models" for practice: (1) Clinical - case analysis, utilization of unique developmental history, objective is to enhance the client's adaptive capacity, (2) Mediator - focus on the social service system, worker intervenes by representing the client's needfulness to the social service system, (3) Change Enabler - change in inadequate social reality is sought, (4) Interpreter - educating a community's power elite to a fuller understanding of community problems, (5) Social Criticism - measuring and documenting the level of adequacy of existing policies and programs, and (6) Advocacy - entering in to the community political process to achieve goals which are primarily of interest to the social work profession. It may be observed that only the Clinical model seeks primarily the modification of individual need and the enhancement of

\[16\text{Schneiderman, loc. cit.}\]
individual adaptive capacity; all of the other models focus primarily upon a modification of situational factors, including expectations, opportunities, and resources. It will be noted that Schneiderman's advocate model is developed from a concern for social work professional goals, in contrast to Briar's and Grosser's advocate, who serves the individual client.

In 1969 Schneiderman refined and further developed his models or functions, describing: (1) the Clinical model (treating), (2) the Direct Provision model (providing), (3) the Mediator model (mediating), (4) the Change-Enabler model (change-enabling), (5) the Documenting model, (6) the Analyzing-Planning Model, and (7) the Advocacy model (advocating). For purposes of the current study Schneiderman's concepts of clinical and mediator models are fundamental. Of the clinical model, he says:

The goal of clinical practice is the restoration, maintenance or enhancement of adaptive capacity; facilitating optimal client adjustment to current social reality.

The goal is achieved through provision of services on an individual or group basis which provide emotional support, generated through an enabling relationship to the social worker (and group members); through support given to these strengths in perceptive, integrative and executive functions (understanding-insight, organization, skill etc.), as well as to those material and relationship resources in the environment, which facilitate adjustment. Specific techniques include

purposive listing, reassurance, persuasion, direct advice, teaching, guidance, suggestion, logical discussion and exercise of professional and/or legal authority.

Group participation may be employed to provide an experiential base for the restoration, maintenance or enhancement of client adaptive capacity. In clinical practice the "problem" to be worked, the "program" undertaken with groups, the "project" around which community effort is organized are all viewed as instrumental to the personal growth and development of participants. Successful change in social reality, as a consequence of the participation in group effort, is viewed as secondary to enhanced adaptive capacity achieved through personal change. ¹⁸

Concerning the mediation model Schneiderman elaborates:

The goal in this model is the enhancement of social functioning through activity designed to bring persons with unmet need and existing resources together. The point of departure for the model is the reality of a social service system that is now, and is likely to continue to be, characterized by multiple and often conflicting goals and a complex proliferation of services organized in a highly fragmented way. Negotiating the service system is a difficult and complicated task, frequently beyond the functional capacities of the average citizen, (especially so when functioning in an already stressful situation). Within the mediator model the social worker is concerned with the individualized needs of his client. His point of intervention is the representation of his client's needfulness to the agencies controlling needed resources.

The function performed is that of mediating the social distance between the client and the needed service or benefit (e.g., money, child care, substitute relationships, job training, etc.). He

¹⁸Ibid., 9.
offers help to the individual in finding his way to the needed service, in obtaining the service, in protecting his rights, and in finding a response to his complaints. The mediator may lack any formal administrative relationship to agencies other than his own. The ultimate source of his authority in such cases may be his knowledge of the social welfare system, his knowledge of the client situation and the authority of the client's "right" to expect a response to his need. Mediating functions require a very substantial knowledge, skill and capacity to work within and between bureaucratic structures. In mediating the distance between his client and the social service system the worker's activity may range from the simple giving of information, facilitating communication, completing eligibility requirements and arousing agency interest in his client (consensual approaches) to the utilization of non-consensual strategies, such as, direct confrontation, administrative appeal, and the use of judicial and political systems, as appropriate. The mediator is the partisan advocate of his client's interest.

The mediator function is, in an important sense, a conservative model of action since it represents an effort to maximize service delivery within existing social service structures. It may have some potential for broader institutional change as the cumulative impact of ad hoc adjustments in particular cases become systematized into more permanent revisions in the service delivery system. 19

The current study examines the relative effectiveness of the treatment and mediation activities on the part of parole officers. For purposes of the study "treatment" includes those activities described as a part of the clinical model. "Mediation," in this study, includes those activities described as a part of the mediator model and also includes those activities described above by Briar and Grosser as advocacy. It is also to be emphasized that the researcher regards

19 Ibid., 10-11.
mediation as an essentially conservative model of practice. Mediation's activities are necessarily limited to whatever socio-economic resources are available in a given community.

The Value Base for Mediation

There is a substantial value base, upon which mediation and "individual" advocacy activities could, and should rest. The National Association of Social Workers Ad Hoc Committee on Advocacy observed that

... most social workers have honored advocacy more in rhetoric than in practice.\textsuperscript{20}

The Committee indicates two factors underlie this discrepancy: (1) professional education and practice have legitimized consensus and opposed adversary strategies, and (2) the employee status of social workers has restricted their ability to act as advocates. The Committee points out that the worker's first responsibility, per the social work Code of Ethics, is to his client, to assure him fair and just treatment.\textsuperscript{21}

Miller makes an impassioned plea against social work's (including corrections') willingness to thrust its treatment services upon involuntary clients, often as a pre-condition for other, client-desired services.\textsuperscript{22} He insists that the profession's commitment to


\textsuperscript{21} Ibid., 21.

the dignity of man value does not permit such impositions. Specifically, a client needing concrete services should not be forced to first listen to well-intentioned advice. Miller seems to be saying that social workers' primary responsibility is to perceive the direct service needs of clients and serve them as mediators in the acquisition of the needed goods or services.

Studies in Probation and Parole Supervision

Sophia Robison has described the state of our lack of knowledge in the social sciences and services, contrasting it to the field of medical practice:

Dismal as it may sound, in our attack on the problem of delinquency, those of us who work in the social sciences or social services are in the unenviable position which medicine would face if there was (1) no agreement on the definition of the disease for which the cure was sought, (2) no definitive description of the characteristics of those who are vulnerable, (3) no precise methods to be used, and (4) no agreed-upon criteria for determining the relative success of the cure.²³

Notwithstanding that 1961 comparison there have been some beginning and useful studies of various aspects of probation and parole supervision programs. For many years the classic works of Sheldon and Eleanor Glueck have provided rich information to the student of criminology. Unfortunately, correctional practitioners have been either unwilling or unable to utilize more than a fraction of the

²³ Sophia M. Robison, "Why Juvenile Delinquency Programs are Ineffective," Federal Probation, December 1961, p. 34.
information in their practice. *Five Hundred Criminal Careers*, *One Thousand Juvenile Delinquents*, and *Criminal Careers in Retrospect* have provided extensive description of first offenders and recidivists. These sources reveal much detailed information about offenders' familia-socio-economic backgrounds. Only rarely, however, do the Gluecks make explicit that offenders lack socio-economic resources which are more available to other persons. Even less frequently do they indicate that some helping agent should be responsible for assisting the released offender in obtaining such resources.24,25,26

Adams reported the findings of a series of caseload studies, carried out mostly in California. *Federal Probation* summarized the results in Adams' report:

... (the studies) showed, in general, no superiority in outcome for small caseloads. In recent ... studies, however, types of clients, types of treatment, and rational allocation of time have displaced numbers of cases as the principle focus of interest ... the results of these studies are almost universally encouraging. ... 27


The "type of treatment" studies referred to here have to do with such concepts as community versus institutional treatment, group and family therapy versus conventional probation supervision, and assignment to treatment by offender type. None of the studies sought to examine different treatment functions or styles. 28

In 1963 the Saginaw, Michigan Probation Project demonstrated that professionally trained officers and reduced caseloads led to higher parolee success rates. However, the study did not examine officer functions in either quantitative or qualitative terms. 29

Martinson, Kassebaum and Ward reported their examination of parole research. They found that parole outcome "has been regarded implicitly as simply the function of parole behavior to the neglect of the parole agent as a decision maker." 30 In a Texas demonstration, carried out from 1958 to 1961, the number of persons placed on parole was doubled, while a constant rate of recidivism was maintained. 31

28Ibid., 55.


California studies reported in 1961 revealed two central findings: (1) if the characteristics of both the offender and his officer are considered there are wide variations in success rate, and (2) when all offenders are lumped together the effects of variation in program are negligible. In summary, research findings are contradictory and inconclusive as to the officer's impact on his client's success. Evaluation efforts have shown that some officer efforts result in greater success for the offender, but a few have indicated negative effects and the great majority have shown no appreciable difference in the conduct of offenders to whom they have been applied. The studies do indicate the importance of differential treatment for offenders.

Ohlin, Piven and Pappenfort interviewed a state's probation and parole officers and formulated a distinction among three major types of officers: the "punitive officer," the "protective agent," and the "welfare worker." The authors describe in some detail the differing general backgrounds and identifications of operatives assigned to each of the three categories. However, the study made no attempt to examine the supervision activities of members of each of these classes, or to determine the success of their efforts.


Reid has reported a series of studies which sought to examine various aspects of the "treatment" model. One study, reported in 1964, attempted to determine the influence of both worker and client variables upon a particular aspect of the worker's activities, i.e., his preference for certain types of responses to the client during a direct treatment interview. In 1967 Reid presented the results of a study of "direct treatment," during which the workers utilized various treatment techniques, including reassurance, confrontation, clarification, etc. The goal of these techniques was improvement of the clients' understanding of their problems. In a 1969 study by Reid clients' reactions to the direct service, treatment technique of advice-giving were reported. Each of the Reid studies focused upon treatment efforts on behalf of the client. No other forms of intervention were examined, nor was there an attempt to determine the effectiveness of treatment, in terms of pre-established treatment goals.

The literature contains reports of two studies in which probation officers reported their perceptions of their jobs. Ives presents a probation officer partial job analysis, developed from data elicited


from the officers. Several treatment and mediation-type tasks were
reported. Van Laningham, Taber and Dimants asked practicing pro-
bation officers to rate fifty-two tasks known to be performed by
probation officers, according to whether they considered the tasks
appropriate to their work. The study revealed:

... a lack of consensus about the respons-
sibilities of probation officers and showed wide
differences in training... general approval
was expressed of tasks involving referral of
probationers to appropriate helping resources,
providing them with fairly direct advice and guid-
ance for day to day living and acting as social
consultants to the court. However, considerable
disagreement existed as to the appropriateness to
probation work of tasks involving psychotherapy,
law enforcement and surveillance, environmental
manipulation for benefit of the probationers, and
use of authority to attempt to control behavior of
which the probation officer disapproves, but which
is not illegal.

In both the Ives and Van Laningham, et al. studies there was no at-
tempt to determine the extent of actual utilization of various super-
vision roles, nor was there a determination of extent of success of
worker efforts.

Wahl and Glaser carried out a pilot time study of Federal
probation officers' jobs, seeking to determine proportions of time
spent by the officers in such tasks as doing presentence investiga-
tions, dictation, various "paper work" responsibilities, travel, and

37 Jane K. Ives, "The Essential Task of the Probation-

38 D. C. Van Laningham, M. Taber, and R. Dimants, "How
Adult Probation Officers View Their Job Responsibilities," Crime and
Delinquency, April, 1966, p. 98.
counselling. It was reported that 21.2 percent of the officers' time was spent in "counselling," although it was not specified if it was the client or others, or both who were being counseled. Nor was "counselling," for purposes of the study, defined. 39

The study most closely related to the current researcher's efforts is reported in Glaser's The Effectiveness of a Prison and Parole System. Glaser classifies the goals of parole supervision as being (1) control, and (2) assistance. By control he refers to officer functions of surveillance, restriction and punishment; by assistance he refers to tasks which enable material aid, referral, counselling, and mediation. Glaser notes that:

... these two components have come into conflict when there has been doubt as to the effectiveness of counseling by persons who also perform surveillance and take actions resulting in the reimprisonment of rule violators. This diversity of viewpoint and background in parole supervision suggests the possibility that distinctly different styles of performance may be discerned in the parole supervision job and may be made the subject of special study ... 40

Glaser's control and assistance models relate in a general way to the treatment and mediation roles of the current study. The Glaser study further establishes four types of parole supervision officer: the


paternal officer, the punitive officer, the welfare worker officer, and
the passive officer. It then presents a limited amount of data which
indicates some correlation between type of officer and officer back­
ground, i.e., his training, work experiences, etc. In this study,
as in those reviewed above, there was no attempt to (1) determine
proportions of parole officer time spent in the different categories of
activities, and (2) assess the relative effectiveness of different
activities or categories of activities.
CHAPTER III

THEORY, ASSUMPTIONS, AND HYPOTHESES

Theory and Assumptions Relevant to the Hypothesis

Social work literature and practice indicate that social functioning and dysfunctioning are the products of interaction between (1) an individual's needs and capabilities, and (2) his situations, opportunities and resources. Social dysfunctioning, including deviance in the forms of delinquency and criminality, are therefore regarded as an imbalance or unsatisfactory interaction between (1) the deviant's needs and capacities, and (2) his environmental expectations, opportunities and resources. Thus, as Schneiderman points out, improved interaction may be sought through:

(1) Modification of functional capacity so as to bring it within the range of situational expectations, opportunities and resources; that is, helping the person to function more adequately within the limits imposed by the reality situation.

(2) Modification of situational expectations, opportunities and resources, so as to bring them within the range of individual functional capacity and need, that is, changing reality in a direction which promotes the well-being of people.
(3) A combination of these two.\textsuperscript{41}

The present study is based upon the writer's perceived need for correctional workers to make greater use of strategies of intervention in those situations which restrict parolees' social opportunities. The study's focus suggests that social integration and adjustment may be better effected by changing the awarenesses, attitudes, and conditions of community resources related to parolees' needs.

This study assumes, then, the common observation that convicted adult offenders in the United States tend, more often than non-offenders, to be less well educated and vocationally trained, less well housed, clothed, fed, and medically cared for, lacking in socio-recreational opportunity, and not afforded legal protection equal to other citizens. Further, the study recognizes that the value commitment of social work mitigates against simply helping the offender to accept and adjust to inequitable, often dehumanizing conditions of life.

The study assumes that parole officer function and parolee success are related, i.e., that whether a parolee completes his parole period is in some way related to what the officer does with and for him. Available data tends to both support and conflict with this assumption. As was noted in Chapter II there has been very little research of parole effectiveness. There is minimal empirical

support of parole programs. Most studies of parole success and failure have examined factors in the offender's personality and life history to explain recidivism.

The study assumes that the utilization of treatment and mediation functions is not based only on different kinds of client problems and needs. The methodology assumes that treatment or mediation emphasis by a worker is a function of the worker's own predisposition. It also assumes a certain "equivalency" of client population in caseloads. That is, variables of dissimilarity in offender problems and needs, among caseloads, are assumed to be controlled through randomization of case assignment to parole officers. These considerations lead naturally to very important manpower utilization implications, i.e., a concern for matching parole program and practice with offender problem and need, and matching type of worker, i.e., treater or mediator, with type of offender problem and need. Chapter VI further discusses these implications, in the context of the findings of this study.

The Hypotheses

The theory and assumptions discussed above underlie two principle hypotheses of this research: (1) Those parole officers who give greater emphasis to mediation functions on behalf of their clients experience a higher rate of parolee success than those officers who give less emphasis to mediation functions, and (2) Those parole officers who give greater emphasis to mediation functions on behalf of their clients than to treatment functions receive higher employee
effectiveness ratings by their supervisor than those officers who emphasize treatment over mediation. In addition, "hard" data concerning the backgrounds of parole officers are variables which are examined in terms of their association with officer effectiveness and emphasized working style, i.e., mediation or treatment. These parole officer variables include age, race, and extent and type of educational preparation. Such variables relate directly to manpower recruitment, training and utilization considerations. Variables concerning the population size of the community in which the parole officer is working and size of caseload are also analyzed relative to their association with officer working style and officer effectiveness.
CHAPTER IV

METHODOLOGY

The Study Overview

This is an exploratory study which seeks to determine (1) the emphases on mediation and treatment functions by Ohio adult parole officers, and (2) the relative effectiveness of those officers who emphasize one function over the other. Two Treatment-Mediation Scales have been developed by the researcher. Using these scales parole officers are classified in terms of their emphasis upon mediation and treatment. The effectiveness of the parole officers is also expressed in two ways, in terms of (1) percentage of their clients achieving parole final release, and (2) the officer's rating of effectiveness, as determined by a central office supervisor. Thus, the two measures of effectiveness are independent. Treatment-mediation findings and effectiveness findings are then compared to determine the relative effectiveness of the supervision styles.

All Ohio adult parole officers who have been employed as such for at least eighteen months were enlisted as respondents. (Parole officers with at least this much service have compiled some record of parolee caseload success-failure rate: the minimum parolee supervision period is twelve months, while the average period is approximately fourteen months.) A principal part of the study was
the classifying of all participating parole officers in terms of the levels of their treatment and mediation orientations. This classification was done by administering to each officer two mediation-treatment scales which were developed by the researcher. Treatment-Mediation Scale #1 permitted the officer to indicate his preferred ways of dealing with typical parole supervision problem situations. His responses to the items were classifiable in terms of treatment and mediation orientation. Treatment-Mediation Scale #2 is an attitudinal measure, eliciting the officer's attitudes about the causes and treatment of social deviance. The preferences marked revealed the extent to which he favored either treatment or mediation solutions. Thus a parole officer's effectiveness was determined both in terms of (1) the final release rate of parolees supervised by him, and (2) evaluation by his supervisor. Parole officer emphasis of treatment or mediation was determined by his response to (1) the hypothetical parolee supervision problem situation scale, and (2) the attitude scale. Correlations between the two methods of determining officer effectiveness were made, as were correlations between the two ways in which treatment or mediation emphasis was determined.

The scales used in the study were repeatedly pretested to determine their validity and reliability. The first pretest involved a series of rewording of items and item deletions. These changes were based upon the reactions and suggestions of two of the researcher's colleagues who are former parole officers.
The second pretest was of a different type. Four parole officers were asked to complete the two scales, which were then scored, indicating the four officers' relative emphasis on treatment and mediation functions. The officers were thereby ranked, one to four, in terms of their emphasis of these functions. The same four officers were also individually interviewed concerning their actual activities in a number of randomly picked parolee "cases" assigned to them. These interviews were tape recorded. Two judges, one an Adult Parole Authority administrator not acquainted with the four officers, and the other a social work doctoral candidate who has never worked in corrections independently evaluated the taped interviews, in terms of the officers' treatment and mediation emphases. Each judge then also ranked the four officers concerning the two emphases. With the exception of one officer being ranked differently by one position the two judges both placed the officers in the same treatment-mediation order as the two scales had placed them. The researcher's procedure thus included the use of an independent judgment criterion to afford additional evidence that the scales elicit not just officer attitudes concerning the two functions but his actual practice as well.

**Setting in Which the Study Takes Place**

The study was carried out within the Adult Parole Authority, a major arm of the Division of Correction, Ohio Department of Mental Hygiene and Correction. The Adult Parole Authority is a state-wide agency, servicing felons who have been confined in any of the State's
seven adult correctional institutions, and providing probation services to certain counties of the State. The Agency's major responsibilities include parole release determination, investigation and supervision of parolees and probationers.

Data Collection

It has been indicated that two methods were used to classify the parole officers, in terms of their effectiveness. The first method was that of determining the officer's success with his clients by comparing the number of parolees supervised by him who violated their parole with the total number that he had supervised. This was accomplished through the use of statistics which were available in Adult Parole Authority records. The second method of classifying parole officers into effectiveness groups was that of effectiveness rating of each officer by a central office staff member. This rater, by virtue of his past and present work assignment, was well acquainted with all the officers. For more than two years prior to this study he had conducted parole officer orientation and training classes. In addition, the rater's regular assignment was case review, affording him opportunity to evaluate the case efforts of all Ohio parole officers. In the Treatment-Mediation Study the rater's instructions were to evaluate each officer in terms of the officer's "willingness, ability, and follow-through in doing those things which are expected of a parole officer." A simple rating scale was used, in which the rater assigned each officer to a position on a continuum of the fifty-seven
officers, ranging from "most effective" to "least effective."

Two sources also were utilized to classify the parole officers in terms of their treatment and mediation emphases. Both sources were that of parole officer completion of the researcher's specially developed scales. The scales were mailed to the officers' homes for completion, to avoid the "contamination bias" which could have occurred if the officers had completed them together. Treatment-Mediation Scale #1 presented eight hypothetical parolee supervision problem situations. The officer was asked to indicate his preferred way of dealing with these problem situations. Each item presented two response options, one was treatment, the other mediation in nature. (See Appendix B) Treatment-Mediation Scale #2 was constructed to elicit the officers' attitudes concerning parolees, why offenders engage in criminal acts, and how they should be dealt with while under parole supervision. The scale items each afforded the officer an opportunity to express preference for either treatment or mediation kinds of intervention. The "strongly agree" to "strongly disagree" type responses were utilized. (See Appendix C)

"Hard" data concerning each parole officer was also gathered through a third instrument, also sent to the officers' homes. (See Appendix A.) This data facilitated the answering of several other questions, relative to possible significant relationships among factors of officer background, officer effectiveness, and officer treatment or mediation emphasis.
The Ohio State University's Data Center programs and equipment were employed in the analysis of the data. Program BMDO2D - Correlation With Transgeneration was utilized to compute sums, means and standard deviations. BMDO2D also provided correlation matrixes of the officer characteristic data and the items of the two T-M scales. Data Center program C6.01.016 - Item Analysis Routine was used to analyze the data of the two scales' items. This program afforded means, standard deviation, variance, and correlation of an item with the sum of the remaining items. The Item Analysis Routine enabled statistical comparison among groups of parole officers, possessing similar characteristics, to the scales.
CHAPTER V

PRESENTATION OF FINDINGS

The data gained through this study afford findings in five general areas: (1) selected personal characteristics of parole officers and of their parole assignments, (2) extent of the officers' success with their clients, in terms of parole violation rate, (3) extent of the officers' job effectiveness, as judged by a central office staff member, (4) extent of treatment and mediation orientations of the officers, in terms of the scales developed by the researcher, and (5) extent of association of officer success and effectiveness with their orientation as to treatment and mediation.

Characteristics of the Participating Parole Officers

1. Criteria for Participation Selection

Sixty-two parole officers and case-carrying supervisors were selected for participation in the study. Fifty-seven provided the requested data in time for it to be included in the analysis and findings. The sixty-two officers who were selected comprised all those Ohio parole officers who: (1) had at least eighteen months service as of May 1, 1970, and (2) were carrying a caseload on that date, or had carried a caseload during some of the preceding eighteen-month period.
2. Age

The age of parole officers participating in the study ranged from 24 to 65 years, to nearest birthday anniversary. The mean age was 42.1 years. The number of officers in each ten-year age class was:

<table>
<thead>
<tr>
<th>Officer Age (Years)</th>
<th>Number of Officers</th>
</tr>
</thead>
<tbody>
<tr>
<td>20 - 29</td>
<td>9</td>
</tr>
<tr>
<td>30 - 39</td>
<td>17</td>
</tr>
<tr>
<td>40 - 49</td>
<td>16</td>
</tr>
<tr>
<td>50 - 59</td>
<td>11</td>
</tr>
<tr>
<td>60 - 69</td>
<td>4</td>
</tr>
<tr>
<td>Total</td>
<td>57</td>
</tr>
</tbody>
</table>

3. Race

Of the fifty-seven participating officers 17 classified themselves as "Negro" and 40 said they were "White." Thus, 30 percent of the officers are Negro, 70 percent are White.

4. Educational Background

a. Undergraduate and Graduate Study

Educational achievement levels reported ranged from high school completion, with no college study, to more than four years undergraduate study or some graduate study. None of the parole officers responding reported the possession of a graduate or professional degree. Twenty-three officers, or 40 percent indicated that they possessed more than four years undergraduate study or had
engaged in some amount of graduate study. Twenty-one officers, or 37 percent, reported the possession of a four-year college or university degree. Thirteen officers, or 23 percent claimed either the completion of high school without any college study, or with some college preparation, short of a degree. Thus, the classes and number of parole officers in each was:

<table>
<thead>
<tr>
<th>Educational Level</th>
<th>Number of Officers</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>High School</td>
<td>13</td>
<td>23</td>
</tr>
<tr>
<td>Four Year Degree</td>
<td>21</td>
<td>37</td>
</tr>
<tr>
<td>Advanced Study</td>
<td>23</td>
<td>40</td>
</tr>
<tr>
<td>Totals</td>
<td>57</td>
<td>100</td>
</tr>
</tbody>
</table>

b. Fields of Major Study

Forty-seven officers specified a field of major study in either an undergraduate or graduate school. In order of most frequently reported majors they are:

<table>
<thead>
<tr>
<th>Major Study</th>
<th>Number of Officers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Science (Psychology, sociology, economics, history, anthropology, political science)</td>
<td>35</td>
</tr>
<tr>
<td>Business</td>
<td>5</td>
</tr>
<tr>
<td>Education</td>
<td>3</td>
</tr>
<tr>
<td>English, language</td>
<td>2</td>
</tr>
<tr>
<td>Social Work</td>
<td>1</td>
</tr>
<tr>
<td>Biological Science</td>
<td>1</td>
</tr>
<tr>
<td>&quot;Other&quot; or no response</td>
<td>10</td>
</tr>
</tbody>
</table>
5. Duration of Parole Employment

The range of employment time, to the nearest year, was 2 to 35 years. The mean was 8.8 years. The following distribution of employment duration was obtained:

<table>
<thead>
<tr>
<th>Number of Years Employed (To nearest year)</th>
<th>Number of Officers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 5</td>
<td>22</td>
</tr>
<tr>
<td>5 - 9</td>
<td>15</td>
</tr>
<tr>
<td>10 - 14</td>
<td>10</td>
</tr>
<tr>
<td>15 - 19</td>
<td>5</td>
</tr>
<tr>
<td>20 - 24</td>
<td>3</td>
</tr>
<tr>
<td>25 - 29</td>
<td>0</td>
</tr>
<tr>
<td>30 - 34</td>
<td>1</td>
</tr>
<tr>
<td>35 - 39</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>57</strong></td>
</tr>
</tbody>
</table>

6. Size of County (or counties) to Which Assigned

Most of the parole officers were assigned to supervise parolees in one county only. However, in some cases an area of more than one county was assigned to an officer. In the latter instance, for purposes of the study, the officer was placed in one of the four classifications on the basis of the size of the county or counties in which the majority of his clients were located. The following classes were established:
County Size

"Semi-rural" (a county population of under 100,000) 15

"Urban" (a county population of 100,000 to 499,999) 15

"Metropolitan" (a county population of 500,000 to 999,999) 18

"Large metropolitan" (a county population of one million or more - only Cuyahoga County) 9

The largest number of officers thus had caseloads in "metropolitan" counties of one-half million to one million persons, while the fewest number of officers were working in the one "large metropolitan" county of more than one million population.

7. Size of Caseload

Caseload sizes reported ranged from none to 88. (Some supervisors, not supervising a caseload at the time of this study, qualified for participation in it because they had supervised parolees at some time during the eighteen month period which preceded the study.)

Nine caseload size classes, each with a range of ten were established. The number of officers in each class was:

<table>
<thead>
<tr>
<th>Caseload Size (Number of Parolees)</th>
<th>Number of Officers</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 9</td>
<td>3</td>
</tr>
<tr>
<td>10 - 19</td>
<td>2</td>
</tr>
<tr>
<td>20 - 29</td>
<td>1</td>
</tr>
<tr>
<td>30 - 39</td>
<td>4</td>
</tr>
</tbody>
</table>
The median caseload fell in the class 50 to 59 parolees.

Parole Officer Success, As Indicated by Parolee Violation Rate

For purposes of this study parolee "success" is defined in terms of the parolee being awarded a final release from his sentence. Under Ohio law a final release may be issued only after the parolee has conducted himself satisfactorily for at least one year. Parole "failure," for purposes of the study, is defined as the removal of a parolee from active supervision and from supervision roles because of either (1) his return to the correctional institution because of serious violation of the conditions of parole, or (2) his re-commitment to a correctional institution following a conviction on a new felony offense, or both. (A small number of parolees absent themselves from the officers' supervision and are declared parole violator at large. (PVAL) The individual parole officer records of PVAL activity reveal much similarity between parole violation rate and parole violator at large rate. The Adult Parole Authority's records indicate that approximately one-half of parolees who have been declared PVAL are subsequently
restored to parole supervision when their whereabouts is again known. In view of the above apparent similarity between parole violation and PVAL rates, and the approximate fifty percent rate of restoration to supervision, PVAL statistics have not been included in the present study.)

The parolee failure rate of the parole officers is expressed in percentages. It has been computed by dividing the total number of parolees supervised by the officer (for up to a maximum of fifty-two months preceding the gathering of the data) into the number of his parolees who have been declared parole violator. (Excluded from the computations are the number in his current caseload, current violators at large, and parolees administratively transferred to another caseload.) The parole violation rate ranged from 2 percent to 19 percent. The mean violation rate was 12 percent. Figure 1 expresses the parolee violation rates of the respondent parole officers.

Questions included in the study suggest the possibility of statistically significant relationships between certain background characteristics of the officer and characteristics of his assignment, and his success rate with his clients, the parolee violation rate. Accordingly, the bivariate correlation test was used to examine correlations as to age, education, time employed in parole, size of county (counties) to which assigned, and size of caseload assignment. Figure 2 indicates the levels of correlation which were obtained. Age correlates positively at less than the .01 level, caseload size at
<table>
<thead>
<tr>
<th>Violation Rate (Percent)</th>
<th>Number of Officers</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 - 3</td>
<td>3</td>
</tr>
<tr>
<td>4 - 5</td>
<td>3</td>
</tr>
<tr>
<td>6 - 7</td>
<td>6</td>
</tr>
<tr>
<td>8 - 9</td>
<td>5</td>
</tr>
<tr>
<td>10 - 11</td>
<td>8</td>
</tr>
<tr>
<td>12 - 13</td>
<td>10</td>
</tr>
<tr>
<td>14 - 15</td>
<td>10</td>
</tr>
<tr>
<td>16 - 17</td>
<td>8</td>
</tr>
<tr>
<td>18 - 19</td>
<td>4</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>57</strong></td>
</tr>
</tbody>
</table>

Figure I: PAROLEE VIOLATION RATE OF PAROLE OFFICERS (Determined by dividing number of parolees supervised into number of parolees declared violator)
<table>
<thead>
<tr>
<th>Parole Officer Characteristic</th>
<th>Correlation with Parolee Violation Rate</th>
<th>Level of Significance (Direction of relationship not specified)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age</td>
<td>-.40 (As age increased parole violation decreased)</td>
<td>P &lt; .01</td>
</tr>
<tr>
<td>Caseload Size</td>
<td>.24 (As caseload increased parole violation increased)</td>
<td>P &lt; .10</td>
</tr>
<tr>
<td>County Size</td>
<td>-.22 (As size of county to which assigned increased parole violation decreased)</td>
<td>P &lt; .10</td>
</tr>
<tr>
<td>Time employed as Parole Officer</td>
<td>-.19 (As time employed increased parole violation decreased)</td>
<td>P &lt; .20</td>
</tr>
<tr>
<td>Education</td>
<td>.10 (As education increased parole violation increased)</td>
<td>P &lt; .50</td>
</tr>
</tbody>
</table>

Figure 2: PAROLEE VIOLATION RATE AND SELECTED PAROLE OFFICER CHARACTERISTICS, IN ORDER OF GREATEST ASSOCIATION
less than the .10 level, and county size at less than the .10 level. The variables years of education and time employed in parole correlate at even lower levels of statistical significance. There was also negligible difference between Negro and white officers in their parole violation rates. The average parole violation rate for Negro officers was 11.4 percent, for white officers 11.5 percent.

**Parole Officer Relative Effectiveness, as Judged by a Senior Staff Member of the Agency**

The research design called for two methods of evaluating the parole officers' relative effectiveness. The officers' success, in terms of parole violation rate was reported above. For the second method a central office senior staff member, whose work assignments previously and at the time of the study has afforded him substantial knowledge of the work of all the officers, rank-ordered them in terms of effectiveness. Specifically, the staff member was instructed to rank each officer on the basis of the officer's "willingness, ability and follow-through in doing those things which are expected of a parole officer." (See Appendix J)

The researcher tested for statistically significant relationship between each officer's adjudged order of effectiveness and the officer's background and assignment characteristics. The levels of correlation are indicated in Figure 3. Only the factors of caseload size and years of education correlate at a significant level with the effectiveness ratings of the officers. It is to be noted, however, that
<table>
<thead>
<tr>
<th>Parole Officer Characteristic</th>
<th>Correlation with Parolee Violation Rate</th>
<th>Level of Significance (Direction of relationship not specified)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Caseload Size</td>
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<td>P &lt; .01</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td>-.20</td>
<td>P &lt; .10</td>
</tr>
<tr>
<td></td>
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<td></td>
</tr>
<tr>
<td>County Size</td>
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<td>P &lt; .20</td>
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<tr>
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<td></td>
<td></td>
</tr>
<tr>
<td>Parolee Violation Rate</td>
<td>.07</td>
<td>P &lt; .50</td>
</tr>
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<td></td>
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<tr>
<td>Time Employed as Parole Officer</td>
<td>.07</td>
<td>P &lt; .50</td>
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<td>Age</td>
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<td>P &lt; .50</td>
</tr>
<tr>
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</table>

Figure 3: EFFECTIVENESS RATING OF PAROLE OFFICERS AND SELECTED OFFICER CHARACTERISTICS, IN ORDER OF GREATEST ASSOCIATION
the correlation in both cases is a negative one, i.e. increase in extent of education is associated with lower effectiveness ratings, as is larger caseloads.

Possessing two differentially determined effectiveness ratings for each officer, a test of correlation between the tests was possible. Using the correlation test a value of -.07 was produced. Thus, there was a negligible, negative correlation between the determination of effectiveness by parolee final release rate and effectiveness as determined by a supervisor's rating.

**Treatment and Mediation Emphases of the Parole Officers**

The study's major hypotheses suggest that those officers who place greater emphasis upon mediation type activities in their work, as compared with treatment type activities, are more successful. To test the hypothesis the researcher developed two scales, T-M #1 and T-M #2. Each participating parole officer served as a respondent by completing the two T-M scales.

The items of the two scales were coded to indicate the kinds of functions which they reflected (mediation and treatment) and, in T-M #2, the strength of opinion concerning the functions. The scales were then scored to indicate the parole officers' relative emphases on mediation and treatment activities. Each officer was assigned a mediation score for T-M #1 and T-M #2. (It is to be noted that since both scales were designed to measure only mediation and treatment activities, a high mediation score is inversely related to a low treatment score, and vice versa.)
A matrix of item inter-correlation was carried out on each of the two scales. The items on each scale were analyzed by correlating the items with each other and with the sum of the other items. The researcher then made a correlation cut-off level judgment in the case of T-M #2, which excluded those scale items falling below the .21 level of correlation with the other 49 items. (See Figure 5)

T-M Scale #1 contained eight items, each offering a response of either treatment or mediation. The theoretical mediation range was thus 0 to 8. The actual mediation range was 2 to 8. The theoretical mediation score was 4, while the actual median was 5. Figure 4 indicates item responses to the Scale, number of mediation and treatment responses, item mean responses, the item analysis correlation level for each item, and their levels of probability. It is noted that the respondents as a group selected nearly twice as many mediation as treatment responses, with items 6 and 7 receiving overwhelming mediation selection. All items except 1 and 2 were given a mediation response by more than one-half of the officers. An indication of the sensitivity of the scale is the wide distribution of the items' means, ranging from .32 to .95.

T-M Scale #2 presented fifty attitudinal or opinion type items for response, ranging from strongly agree to strongly disagree. The scale was scored from 5 to 1, the 5 indicating strong mediation opinion and the 1 a strong treatment opinion. The mediation score range was 126 to 188. That is, the lowest total of mediation responses to the fifty scale items by a respondent was 126, the highest was 188.
<table>
<thead>
<tr>
<th>Item Number</th>
<th>Correlation with the sum of the other 7 items</th>
<th>Number of Treatment Responses</th>
<th>Number of Mediation Responses</th>
<th>Total</th>
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<td>0.35</td>
<td>0.40</td>
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<td>0.30</td>
<td>0.40</td>
<td>2</td>
</tr>
<tr>
<td>36</td>
<td>0.22</td>
<td>0.22</td>
<td>0.40</td>
<td>1</td>
</tr>
</tbody>
</table>

Level of significance (Direction of relationship not specified)

Mean Response (Each item offered a M and T response, scored 1 and 0, respectively. A mean of .50 would indicate equal selection of M and T alternatives)
The median mediation response was 155. Figure 5 presents the responses to each of the fifty items, in terms of mean response and standard deviation, in order of the correlation of each item with the sum of the other 49 items. It will be noted that the range of the items' means is from 1.93 (a position a little greater than "agreement" with treatment, but far short of "strong agreement" with treatment) to 4.39 (a position almost midway between "agreement" and "strong agreement" with mediation). The standard deviation range is .40 (item 18) to 1.21 (item 32). The range of correlation for T-M #2 was .03 (item 29) to .58 (item 37). The researcher's examination of the item correlation data revealed twenty items falling below the .21 level. Any correlations below this level are above the traditional .05 level of significance. The twenty items thus indicated in Figure 5 were thereafter excluded in the computing of levels of correlation among other parole officer variables, with mediation scale scores.

The two T-M scales were both designed to measure extent of treatment and mediation functions by parole officers. A question raised by the study, therefore, concerned the degree to which the scales correlated with each other. When the two scales were correlated with each other the resulting coefficient was .08 (based on a T-M #2 of 30 items). Figures 6 and 7 are scatter diagrams which illustrate this very low correlation for the fifty-seven parole officers. Figure 6 indicates each officer's correlation position when all fifty items of T-M #2 are used. Figure 7 indicates their positions when
<table>
<thead>
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<th>Item No.</th>
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<th>S.D.</th>
<th>Item No.</th>
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<th>Mean</th>
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<td>1.02</td>
<td>29</td>
<td>.03</td>
<td>4.04</td>
<td>.77</td>
</tr>
</tbody>
</table>

*This and succeeding items are hereafter excluded from analysis because a correlation below .21 is above the conventional .05 level of probability. (One-tailed interpretation.)

Figure 5: T-M SCALE #2 ITEM RESPONSES: MEAN AND STANDARD DEVIATION, BY ITEM ANALYSIS CORRELATION LEVEL (Direction of relationship specified)
**Figure 6: SCATTERPLOT OF PAROLE OFFICER RESPONSES TO T-M SCALES #1 and #2** (Using a T-M #2 of 50 items)

*A mediation response of "strongly agree" equals 5 points, "agree" equals 4 points, "no response" equals 3 points, "disagree" equals 2 points, and "strongly disagree" equals 1 point.*
*A mediation response of "strongly agree" equals 5 points, "agree" equals 4 points, "no response" equals 3 points, "disagree" equals 2 points, and "strongly disagree" equals 1 point.

Figure 7: SCATTERPLOT OF PAROLE OFFICER RESPONSES TO T-M SCALES #1 and #2* (using a T-M #2 of 30 items)
the thirty-item scale is used (deleting the twenty items which fell below a correlation of .21).

Nothing in the pattern of scatter suggests an explanation for the low level of correlation between the two scales. These low levels of correlation, reflected in the random-appearing scatter diagrams, raise important questions concerning the validity of one or both of the scales. These questions and some suggested answers are set forth in Chapter VI of this report.

The treatment-mediation study sought not only to determine the extent of use and relative effectiveness of the two functions. It also was directed at determining which parole officer characteristics are associated with mediation and treatment. To examine this question correlations of each of the two T-M scales were made with six key officer characteristics. Figure 8 presents the results of those comparisons. Figure 8 indicates that nearly all correlation levels are below that of statistical significance. All the correlations but age are actually in opposite directions. Age of officer is negatively correlated with use of mediation in both scores. That is, the older the officer the greater the emphasis on treatment functions. However, strength of relationship is extremely low.

Of the six officer characteristics presented in Figure 8 case-load size presents a statistically significant level of correlation with mediation, and that with only one scale. The two T-M scales again differed in their direction of relationship. The .15 correlation for T-M #1 reaches only the .50 level of probability. According to T-M
<table>
<thead>
<tr>
<th>Characteristic</th>
<th>T-M Scale #1 Correlation (Direction of relationship not specified)</th>
<th>T-M Scale #2 Correlation (Using 30 items of highest intercorrelation) (Dir. of rel. not spec.)</th>
</tr>
</thead>
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<td>-.07  P&lt; .90</td>
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<tr>
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<td>-.18  P&lt; .50</td>
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<td>Education</td>
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<td>Time Employed in Parole</td>
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<td>.19  P&lt; .20</td>
</tr>
<tr>
<td>County of Assignment Size</td>
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<td>-.11  P&lt; .50</td>
</tr>
<tr>
<td>Caseload Size</td>
<td>.15  P&lt; .50</td>
<td>-.35  P&lt; .02</td>
</tr>
</tbody>
</table>

*For purposes of analysis Negro was coded 1 and white was coded 2.

Figure 8: USE OF MEDIATION AND SELECTED PAROLE OFFICER CHARACTERISTICS, BY T-M SCALES #1 and #2
#2, however, there is substantial negative relationship between case-load size and mediation, i.e., the smaller the caseload the greater the use of mediation. Said another way, larger caseloads are associated with less use of mediation.

It will again be noted from Table 8 that the two scales disagreed in the direction of correlation with five of the six officer characteristics. Only concerning officer age do the scales agree on the way in which a characteristic and mediation use are related. This extensive lack of agreement raises further questions concerning the validity of the scales. In Chapter IV the scales' validation procedures were described. Notwithstanding those measures the findings reported in Figure 8 appear to indicate lack of validity in either T-M #1 or T-M #2, or both. The researcher is of the opinion that T-M #2 possesses greater validity than T-M #1. As was noted, T-M #2 was the subject of more extensive validation measures. Too, the researcher is of the opinion that a greater subtlety possessed by the items of T-M #2 afforded less opportunity for the parole officers to "second guess" the items.

The central question of the study was that of extent of association between mediation and parolee success. It was hypothesized that parole officers who give greater emphasis to mediation would experience a higher final release rate among their clients. Figure 9 presents the correlation levels for association between final release rate and T-M Scale #1 and T-M Scale #2.
<table>
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<tr>
<th>Type of T-M Test Employed</th>
<th>Level of Correlation With Favorable Parolee Violation Rate</th>
</tr>
</thead>
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<tr>
<td>T-M Scale #2</td>
<td>.04</td>
</tr>
</tbody>
</table>

Figure 9: USE OF MEDIATION AND PAROLEE VIOLATION RATE, BY T-M SCALES #1 and #2

<table>
<thead>
<tr>
<th>Type of T-M Test Employed</th>
<th>Level of Correlation With Parole Officer Effectiveness Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>T-M Scale #1</td>
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</tr>
<tr>
<td>T-M Scale #2</td>
<td>.08</td>
</tr>
</tbody>
</table>

Figure 10: USE OF MEDIATION AND OFFICER EFFECTIVENESS RATING, BY T-M SCALES #1 and #2
The second major hypothesis of the study was that parole officers who receive a higher effectiveness rating for their work make greater use of mediation functions. Figure 10 reports the correlation levels for association between mediation emphasis and adjudged officer effectiveness. The data contained in Figures 9 and 10 indicate that the major hypotheses are not supported. Both T-M #1 and T-M #2 reveal some correlation between use of mediation and success. However, the correlation levels for both success and effectiveness, by both T-M scales, are far below that needed to support the researcher's hypothesis.
CHAPTER VI

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

The Problem Studied

This study grew out of a recognized need to explore the extent of use and relative effectiveness of mediation activities in adult parole. Social work theory and practice is increasingly emphasizing mediation for clients, as well as treatment. However, the field of corrections is perceived as having continued an almost exclusive emphasis on other models. If the offender correction rate is to be improved the effectiveness of all kinds of intervention must be investigated.

Purpose of the Study

The purpose of this study is to (1) inquire into the extent to which mediation and treatment functions are utilized by parole officers, and (2) determine the effectiveness of these functions. The methodology utilizes situational and opinion scales to measure the extent of use of mediation and treatment. The extent of use is determined on a relative basis between the two functions. For purposes of the study "treatment" refers to a parole officer's efforts to enable the client's adjustment to his surroundings. "Mediation" refers to the officer's attempts to mobilize social and economic resources in behalf
of his client. The study design also enabled the comparison of parole officer effectiveness rating with rate of success, in terms of client final releases. Further, it was possible to compare certain characteristics of parole officers and their assignment with officer effectiveness and success ratings. A secondary purpose of the study was the development, testing, and implementation of two Treatment-Mediation parole officer scales.

Methodology and Study Design

In order to test the hypotheses of the study the researcher developed two scales, each designed to measure the relative emphasis of mediation and treatment functions of parole officers. All of Ohio's adult parole officers who possessed eighteen months or more of service were enlisted as respondents, with fifty-seven of the sixty-two eligible officers supplying the requested data. Utilizing computer programs and equipment of The Ohio State University Data Center numerous correlations were made concerning the parole officers' background and assignment characteristics, extent of success with their clients, and mediation-treatment emphases in their employment activities.

The methodology and design which was used presented certain limitations to the study: (1) The criteria for officer effectiveness were limited to final release rate and supervisor's rating. A further refinement of parole's goals in the future will undoubtedly reveal other bases on which to evaluate the work of parole officers. (2) The
literature and the researcher's experience afforded no experience base for classifying the treatment and mediation functions of parole officers. The scale items were designed to present options which included only treatment and mediation. It is therefore likely that some of the scale items include elements of other functions and/or force the respondent to select from unnaturally limited alternatives. (3) The design's exclusion of younger and more recently employed parole officers from participation in the study may have led to findings not typical of all Ohio parole officers. (4) The study utilized only one method for determining treatment and mediation emphasis, the self-administered scale. Other methods which could be used in a future, supplemental study include an examination of the parole officers' client case records, the opinion of the officer's clients, the opinion of the officer's supervisor, and a researcher's observation of the officer during the course of the officer's work.

Summary of Findings

There was a general absence of statistically significant relationships among the variables studied. There was disagreement in the findings of the two scales (situational and attitudinal) as they sought to measure treatment and mediation functions. The two measures of the results of parole officers' efforts, final release rate and supervisor rating, also disagreed concerning the respondent's effectiveness. There was no statistically significant finding that officers who emphasize one function over the other possess either a higher final release rate or higher supervisor's rating.
The following findings relate to parolee final release rate:

(1) Greater parole officer success, in terms of client final release rate, is associated with greater age of the parole officer.

(2) Parole officer success, in terms of the client final release rate, tends to be greater as parole officers are employed longer.

(3) Parole officer success, in terms of final release rate, is associated with smaller caseloads.

(4) More extensive education of the parole officer and race of the officer are not factors which correlate with success at statistically significant levels, in terms of final release rate.

The following findings relate to parole officer effectiveness, in terms of a supervisor's rating of the parole officer:

(1) As caseload size increases, effectiveness decreases.

(2) As years of education increase, effectiveness decreases.

The following findings relate to effectiveness, in terms of both parolee final release rate and supervisor's rating:

(1) Both tests of parole officer effectiveness agree that smaller caseloads are associated with effectiveness to a statistically significant extent. Caseload size is the only factor on which there is such agreement.

(2) The two tests of officer effectiveness revealed substantial disagreement as to which parole officers were most effective. Two factors appear to underlie this disagreement: (1) The tests of effectiveness were based on different criteria and were independently established. The mathematically determined individual officer final release
rates had never before been computed and the rates were unknown to the supervisor who did the rating. (b) The supervisor's effectiveness rating was intrinsically highly subjective. One strongly suspects that the "good" officer, in the view of an agency supervisor, may simply be the one who appears to be carrying out agency rules, regulations and work requirements. Too, the rating guidelines that were provided the supervisor in this study were intentionally left relatively unstructured to permit the rater's interpretation of the "effective" officer. The differential finding of parole officer effectiveness by the two measures relates directly to parole's objectives, its problem identification, its programs, and its agency personnel practices concerning recruitment, retention, training and promotion.

The following findings relate to the use of mediation functions:

1. Age of the parole officer makes no difference in the extent to which he utilizes mediation functions.

2. Negro parole officers may make greater use of mediation than do white officers.

3. Level of education of the parole officer is not related to the extent to which he utilizes mediation functions.

4. Officers who have been employed longer in parole tend to make greater use of mediation than do the more recently employed workers.

5. Population size of the community to which assigned is not significantly related to officer utilization of mediation functions.
(6) The smaller the caseload of the officer the greater his use of mediation functions.

The researcher hypothesized that those parole officers who make greater use of mediation functions also experience greater success, in terms of client final release rates. The hypothesis is not supported by the findings of this study.

Implications for Research and Practice: Recommendations

It is recommended that there be further exploration of the role of treatment and mediation activities on behalf of offenders, both confined and released persons. Specifically, the following recommendations concerning further study and action in parole and other correctional services are made:

Recommendations for Research:

(1) Develop methods in addition to situational and attitudinal scales to measure parole officer treatment and mediation functions, i.e., evaluation of the officer by his supervisor, by his parolees, by researcher observation, and examination of case records. A supervisor's evaluation rating might include a number of situational items similar to those of T-M #1. The supervisor could indicate the way(s) in which he thinks the parole officer would try to assist the client, thereby reflecting a mediation-treatment emphasis. A parole officer mediation-treatment evaluation by a parolee or former parolee might be more difficult to carry out. Since most parolees would have experienced assistance by only one officer a comparison of relative
use of a function would not be possible. However, the parolee might also be provided a number of situational items similar to T-M #1, for him to indicate his officer's working emphasis.

(2) Classify parolee needs and problems in terms of their amenability to intervention by the functions of treatment and mediation. A systems analysis procedure could enable such a classification. Classes of psycho-social problems and needs could be developed in terms of their being primarily either intra-personal or extra-personal. These classes could then be related to treatment and mediation functions, which primarily focus upon intra-personal and extra-personal problems, respectively.

(3) Chapter IV included a description of the pretests and validation processes used in connection with the two T-M Scales. These processes resulted in an indication that actual mediation-treatment emphases by the officers, with their clients, tend to correspond with their outcomes on the T-M Scales. There is need of additional validating procedures concerning the scales. Until that is done it must be recognized that the researcher's scales may be describing officer predisposition, rather than actual practice. Thus, there should be additional validation of the T-M Scales by such means as (1) multiple regression and factor analysis procedures, and (2) use of additional validation criterion groups, such as correctional institution staff members and probation officers.

Recommendations for Practice:

(1) Determine the desirability of meeting treatment and
mediation objectives via non-correctional community agencies and resources, rather than through the parole agency.

(2) Expand data collection to other correctional agencies, including those providing probation, confinement, parole, and other community-based services.

(3) Establish parolee "success" criteria in addition to final release, i.e., case "movement" and length of time under supervision prior to violation conduct.

(4) Re-evaluate existing criteria for supervisory determination of parole officer effectiveness. The parole agency should examine its objectives concerning both outcome and officer performance. The study finding of negligible correlation between officer final release rate and officer "willingness, ability and follow-through in doing those things which are expected of a parole officer" may indicate the existence of conflicting objectives. Thus, the "best" officers may not also be the most "effective" officers.

(5) Re-examine parole officer recruitment qualifications, training needs, and promotional practices in light of the findings concerning officer education, age, and employment tenure.

Implications for Theory Building:

The study's findings do not support the hypothesis that an emphasis on mediation is associated with greater parolee success. Also, there is a lack of support for the researcher's expectation that certain parole officer background characteristics would be associated with mediation or treatment. However, these findings should be
considered tentative, subject to further study. Certain limitations of the study were discussed above. Many are implicit in the several recommendations set forth above. Thus, the measuring of a worker's mediation and treatment utilization has been found to be difficult and needs additional development.

The study raises other questions which relate to mediation theory development. A central question asks whether a worker function, such as mediation, is more a product of worker inclination or client need. Two basic areas need attention: (1) a determination of the kinds of client need or problems which are most amenable to mediation functions, and (2) a determination of the parole officer characteristics which are most associated with particular intervention strategies. Further theory development should include a classifying of client needs, in terms of their amenability to mediation and other strategies. A simple but useful model would relate Maslow's hierarchy of human needs to intervention strategies, including mediation. A simple system for classifying parole officers, in terms of their working function emphases or special capabilities of practice is also needed. This research utilized a method of scaling to accomplish this and has suggested certain other methods. Thus, a beneficial matching of client and worker might be accomplished. In pursuing these suggestions, however, there must be a concern for questions which bear upon worker freedom to function as a professional: (1) the potential for restriction of worker discretion in managing the case,
and (2) the necessity of transfer of cases to other workers as client primary needs change.
APPENDIX "A"
1. NAME ________________________________________________

2. TODAY'S DATE __________________________________________

3. AGE (Nearest birthday) ________________________________

4. RACE (Check one) Negro____ White____ Other____

5. RELIGIOUS AFFILIATION (Check one) Catholic____ Jewish____
   Protestant____ Other____ None____

6. MARITAL STATUS (Check one) Single____ Married_____
   Divorced____ Widow____

7. NUMBER OF CHILDREN (Minor and/or adult) ______________

8. POPULATION OF COMMUNITY OF LONGEST RESIDENCE (Check one)
   Rural____ Small town to 100,000____
   100,000 to one-half million____
   one-half million to one million____
   one million and larger____

9. EDUCATIONAL BACKGROUND
   a. Degree(s) earned ________________________________
   b. Total number of years of undergraduate and
      graduate study _______________________________
   c. Undergraduate major(s) _________________________
   d. Graduate major(s) ______________________________

10. EMPLOYMENT EXPERIENCE
    a. Total time employed in probation, parole, corrections (to
       nearest year) _______________________________
    b. Non-corrections job held longest was as ________ for
       ___________________________ years.

11. FATHER'S WORK was primarily that of _____________________

12. THE COUNTY OR COUNTIES IN WHICH YOU ARE NOW ASSIGNED is (are)
    ________________________________

13. CASELOAD SIZE (Number of offenders currently assigned
to you) ____________________________
APPENDIX "B"
APPENDIX B

T - M SCALE #1

OFFICER'S NAME _______________________________
DATE ____________________________

INSTRUCTIONS: The following situations are like many which you have experienced in your work. For each situation please indicate which one of the suggested parole officer responses you think would contribute most to the parolee's successful parole completion. PLACE AN X BESIDE YOUR SELECTION. (You may think that both responses are important but please place the X beside the one which you believe would do the most to contribute to parole success.)

SITUATION 1
Parolee Edward C., age twenty and single, resides with his parents. He has been under parole supervision for six weeks. Although he has made continuing effort to find employment he remains unemployed. Neither Edward nor his parents has complained concerning his lack of work and income. In a routine contact with Edward you decide to -

___ A. Discuss with Edward the importance of his becoming employed, emphasizing the value of becoming self-supporting and the importance of the parole condition which relates to regular employment.

___ B. Send Edward to the state employment office for possible assistance in counselling and/or job finding.

SITUATION 2
Frank Y., age 48 and residing with his wife, Clara, has been adjusting very well during his ten months under supervision. In a residence contact both Frank and his wife now advise you that they are experiencing serious marital conflict, which they fear may soon lead to their separation. You decide to -

___ A. Tell Frank and Clara about the local family counselling agency, describing the kind of help which that agency offers and pointing out that, as residents of this county, they are eligible for counselling.
B. Listen carefully to both Frank and Clara as they each
describe their marital difficulty, including the complaint
of each about the other. Counsel them concerning their
differences, noting that their marriage has been satis-
factory to each of them until the present situation arose.

SITUATION 3
George T., age 27, a Negro, is making a good adjustment,
following his parole six weeks ago. He had been confined on a
"traffic manslaughter" offense, his only arrest of record. George,
regularly employed, is now telling you that he was told of a better
job recently and made application for it. You tend to agree with his
opinion that he was not given the job because of racial discrimination.
You decide to advise George that -

A. Although he may be correct concerning the reason for not
being hired, discrimination is one of the unfortunate "facts
of life" in our society and is only gradually changing. You
remind George that, due to his parole status he must some-
how become able to live with the situation, continuing for
the time being in his original job.

B. The situation sounds to you as though it is an appropriate
career for a representative of the Civil Rights Commis-
sion. You refer George to the local office of the Commis-
sion.

SITUATION 4
Randy S., age 21, single, lives at home with his widowed
mother and his younger sister. Paroled from confinement for forgery,
he is making a good adjustment, while being employed as a grocery
stock man.

Now, during your residence visit with Randy, he openly and
at length tells you of his growing interest in becoming a Protestant
clergyman. He has obviously thought about the matter a great deal
and he realizes that extensive schooling would be required.

A. You listen attentively to Randy's enthusiastic remarks, en-
couraging him to speak at length concerning the possibility
of his becoming a minister of religion. By way of brief
comments and questions you help him to see more clearly
that he has not been aware of all the important factors which
must be considered. When you leave you indicate to Randy
that you and he should again discuss the matter the next
time that you are together.
B. You listen carefully to Randy's remarks. When he is finished speaking you suggest that he might get more information from one of the minister staff members of the local Council of Churches. You offer to contact someone at the council for Randy, and to try to get an appointment there for him.

SITUATION 5

Everett L., age 32, is on parole for an assaultive offense, the most recent crime in a pattern of assaultive behavior which began when he was a child. Thus far during his seven months on parole he has adjusted moderately well. He is steadily employed in a laboring assignment and is highly regarded by his employer. He has been arrested once during the parole period, for assault and battery; the alleged victim refused to prefer charges.

During a home visit Everett informs you that he thinks he would like to enroll in the local technical school evening classes in automotive mechanics. He explains that he thinks the opportunity is very limited with his present employer. You decide to -

A. Hear out Everett's remarks, listening attentively and conveying your understanding of his desire for auto mechanics schooling. You point out, however, that economically and vocationally he is doing well on parole - that the only problem now, and in the past, has been his assaultiveness. You guide his thinking to focusing upon himself, noting that if his freedom should again be lost it will likely be because of his temper and assaultive conduct. You tentatively plan to continue a discussion of this matter in future contacts with Everett.

B. You tell Everett that such trade training is a good idea. You gave him the name of a staff member whom you know at the technical school, suggesting that he contact the staff member.

SITUATION 6

Melvin D. is a 62 year old "lifer" who has just been paroled from London Correctional Institution. He is living with his older brother, now retired. During your first interview with Melvin he tells you that he thinks that he needs dental care. He points out that the London Institution's dentist advised extraction and dentures nearly five years ago but that he was "scared to do it." You decide to -

A. Listen sympathetically to Melvin's remarks, while at the same time thinking to yourself of ways which you might deal with the situation. Recognizing his current situation of very limited finances, plus his lack of emergency dental need
you suggest that he wait a while before seeking dental treatment. You point out the logic of this suggestion, adding that these early weeks on parole will need his total attention and effort in adjusting to his new surroundings.

___B. You listen carefully to Melvin's comments, considering to yourself the question of how he might be able to afford major dental care. You decide to contact the county welfare department, to determine if that agency would pay for the care, or if they know of any other way in which Melvin could be provided treatment.

SITUATION 7

Lowell L. is aged 33, separated from his wife and resides with his parents. He was paroled following a non-support conviction. During his four months as a parolee he has worked steadily and regularly made court-ordered support payments. However, he has also repeatedly expressed much hostility toward his separated wife, including threatening to stop his payments because "she doesn't use the money for the kids."

Lowell now tells you that he wants to obtain a divorce from his wife "if I had the money and if I knew I had grounds." You reply that -

___A. It would be unwise and against your advice for Lowell to consider filing for a divorce at this time for the reasons which he, himself expressed: (1) lack of finances, and (2) probably lack of divorce grounds. You also point out that the nature of his offense would not be a helpful factor to him in any divorce effort. As his parole officer you instruct Lowell to not further consider the matter so long as he is on parole.

___B. You point out to Lowell that you think there are several factors which could make obtaining a divorce difficult in his case. However, you mention that the local legal aid society might be able to help him if he were to request such help. You tell him that he has your approval to contact the legal aid society.

SITUATION 8

Samuel R., your parolee, and his wife live with their five children in an "economically depressed" area of your territory. Their youngest child, Sarah, is twelve years old and is their only girl. Samuel and his wife inform you that they have "a problem" with Sarah, that she is increasingly shy and withdrawn. It is their opinion that this situation is the result of constant teasing by her four older brothers and her lack of any girlfriends in the neighborhood.
You realize that this situation is perceived as a serious problem by Samuel and his wife and could have an adverse psychological effect upon the parolee's adjustment.

A. Remembering that there is a settlement house near the parolee's home you suggest to them that "the settlement" might be of help because a lot of girls Sarah's age go there and that girl friendships might be meaningful to her now. You tell them that Sarah is "eligible" simply because they live in this community. You give them the name of the agency and its executive director.

B. You listen carefully to the story about Sarah, asking occasional questions to clarify their thoughts, as well as yours about the situation. You reassure the parolee and his wife that such difficulties are not unusual among children, especially when a child is dominated by older children of the opposite sex. You discuss the situation at length, providing insight and advice to your client and his wife. Your goal in this and later contacts with them is helping them to understand and adjust to their situation with Sarah.
APPENDIX "C"
INSTRUCTIONS: The following statements express various perceptions of offenders and how best to supervise them. Indicate your opinion concerning each statement by drawing a circle around the response which most nearly describes your reaction to the statement.

SA means STRONGLY AGREE
A means AGREE
N means NO OPINION
D means DISAGREE
SD means STRONGLY DISAGREE

SA AND SD 1. A parole officer should work as hard to change a parolee's environmental situation as he does to change the parolee.

SA AND SD 2. Most parolees have had as many opportunities for "the good life" as non-offenders have had.

SA AND SD 3. If a creditor is taking unfair advantage of a parolee, the parole officer should do what he can to help the parolee get fairer treatment.

SA AND SD 4. Ample social and economic opportunities are open to parolees in my community.

SA AND SD 5. A victim's conduct often has as much to do with causing the crime as does the offender.

SA AND SD 6. Parolees should have the parole officer "in their corner", so to speak, to serve as their advocate and protect their interests and rights in the community.

SA AND SD 7. Restraint, treatment, and community integration of the offender are important. However, of these three, treatment of him is most likely to halt his criminal career.

SA AND SD 8. The government could reduce crime by seeing to it that people living in the "high risk" communities are not treated as "second class citizens".

SA AND SD 9. Correction, probation and parole are more a matter of enabling changed attitudes and behavior than a matter of arranging for community resources to meet the offender's social and economic needs.

SA AND SD 10. Correction, probation and parole are more a matter of arranging for community resources to meet the offender's social and economic needs than of enabling changed attitudes and behavior.
11. Any parolee can earn a final release if he really wants to, regardless of his social and economic situation.

12. Crime more often results from the offender's faulty social adjustment than from his lack of opportunities such as employment and a good social life.

13. Good parole officer counseling is usually more helpful to parolees than referring them to community agencies for help.

14. If a healthy parolee is not employed it is probably because he does not want to work, rather than because he needs help in finding a job.

15. If a parolee has marital problems the parole officer should counsel both parolee and spouse.

16. The parole officer should step in on behalf of the parolee when a member of the parolee's family is placing heavy pressure on the parolee.

17. If a parolee is seeking workmen's compensation for injury on his job the parole officer should do what he can to help the parolee obtain the payment.

18. Correctional workers are more effective by working with persons who comprise the offender's environment, than by working with the offender.

19. Crime is more the result of a person's willful conduct than the product of his poor social circumstances.

20. Parole officers should spend more of their time trying to change social conditions and lack of social opportunities which contribute to parolees' failures.

21. Providing parole counseling and discipline for excessive drinking are more appropriate roles for parole officers than is persuading the legal aid society to represent the parolee in a law suit.

22. Poverty among offenders is more the result of their lack of social and economic opportunities than the product of their personal inadequacies.

23. A parolee's nagging wife could have a part in causing his criminal conduct; however, the parole officer's proper role is more one of counseling and cautioning the parolee than of trying to change the nagging wife.

24. "Re-integration of the offender" means working with his family members, potential employers, welfare agencies, and other community individuals and groups more than it means working with the individual offender.
SA A N D SD 25. The parole officer should not actually go to a community agency on behalf of his parolee because such action tends to make parolees overly dependent.

SA A N D SD 26. Some parolees violate their parole, no matter how hard they try to do what is right because they are not given a "break" by others in their community.

SA A N D SD 27. A community organization specialist is as well trained to be a good parole officer as is a caseworker.

SA A N D SD 28. The parole officer should protect the parolee's interests concerning such matters as education, job training, and employment.

SA A N D SD 29. Most prisoners deserve a chance on parole but they should be able to succeed in the community with little or no special help from anyone else.

SA A N D SD 30. Parolees frequently do not understand what benefits of community welfare agencies they are eligible for.

SA A N D SD 31. The parole officer's task is to do what he can to get the parolee to adjust to his parole plan, even though that plan leaves much to be desired.

SA A N D SD 32. If the police have arrested a parolee for investigation and the parole officer is confident that the parolee has done nothing wrong then the officer should make every effort to have the police release the parolee.

SA A N D SD 33. Parolees are often dealt with unfairly by a staff member of a public agency.

SA A N D SD 34. Human beings are basically good and moral but some of them learn bad attitudes and behavior.

SA A N D SD 35. Human beings are basically bad and immoral, but some of them learn good attitudes and behavior.

SA A N D SD 36. A greater part of the parole officer's time should be spent in privately counselling his clients, rather than in making home calls and employment contacts.

SA A N D SD 37. Parole officers should spend a greater part of their time counselling the people who make up the parolee's environment.

SA A N D SD 38. Even though the parole officer notices that a parolee's child is badly in need of dental treatment, it is not appropriate for the officer to arrange for such care.

SA A N D SD 39. Parolees are masters of their own destiny, just as other persons are.
SA AND SD 40. A parolee may never have had many chances in life but he, and he alone should be held responsible for his unlawful conduct.

SA AND SD 41. Lower class persons are more dishonest than middle class persons.

SA AND SD 42. Middle class persons are more dishonest than lower class persons.

SA AND SD 43. If poor parolees were given enough money to raise them from their poverty existence there would be fewer parole violations.

SA AND SD 44. Neighbors of a parolee have a responsibility to assist in his social rehabilitation.

SA AND SD 45. Criminal behavior is more the result of individual impulse than environmental experiences.

SA AND SD 46. I sometimes think, concerning a parolee: "There, but for the grace of God, go I".

SA AND SD 47. A community's business and industrial leaders have a special responsibility to employ former offenders.

SA AND SD 48. Parolees frequently need assistance in understanding what their legal rights are.

SA AND SD 49. The parole officer should function as an advocate for a parolee whose rightful benefits are being denied by a community agency.

SA AND SD 50. Crime should be thought of as the individual's deviance from society's norms; it does not help for the parole officer to be concerned with whether an adequate amount of social resources are available to the parolee.
APPENDIX "D"
Your participation in an important study of probation and parole officers' work is requested. The study is being carried out within the Adult Parole Authority, under the direction of its Parole Board Chairman. The study has the consultative and administrative support of the Authority's Chief, Mr. George Denton, its Superintendent of Probation Development, Mr. John Pettibone, its Superintendent of Parole Supervision, Mr. Ray Giannetta, and its Superintendent of Administration and Research, Mr. Nick Gatz.

In general, the study is concerned with the nature of officers' contacts with, and on behalf of, offenders. The enclosed APA Officer Data sheet and two T-M Scales are provided for you to record your contribution to the study. I think that you will find them easy to complete. Please complete the material at your EARLIEST CONVENIENCE and return it directly to the study director, using the enclosed envelope.

The study data submitted by you and your colleagues will be analyzed and interpreted, and may well give indication concerning which kinds of your many efforts are most effective. The results of the study will, of course, be made available to you when the study is completed. You are assured that none of the data which you as an individual contribute will become a part of any personnel records or otherwise be made available to your employment superiors.

Your reactions, comments, and suggestions concerning your participation in the study are desired and needed. Please put them in writing and send them, together with the other materials, to the study director.

Thank you for your participation in this potentially very significant research effort.

Very truly yours,

JOSEPH R. PALMER, ACSW
CHAIRMAN, PAROLE BOARD
T-M STUDY DIRECTOR
The enclosed materials are among those being used in an Adult Parole Authority research study. Approximately one-half of the case-carrying parole officers and unit supervisors are being asked to participate by completing the two T-M Scales and the APA Officer Data sheet, and returning them to the Study Director.

At this time we are not asking you to complete the Scales and Officer Data sheet. They are being provided for your information only. However, we do need your assistance. Please encourage those persons under your supervision who have received the materials to complete and return them without delay. If it is to be accurate and meaningful the study must include data from each of those officers who have been asked to complete and return the materials.

We think that this study has excellent potential for revealing the more effective efforts of parole and probation officers. Obviously, the usefulness of such information could be great. Of course the results of the study will be provided all APA staff members.

Thank you for your assistance. If you have any question or comment concerning your part in the study or that of your parole officers, please feel free to communicate with me.

Sincerely yours,

JOSEPH R. PALMER, ACSW
CHAIRMAN, PAROLE BOARD
T-M STUDY DIRECTOR
APPENDIX "F"
You were recently sent materials concerning a study being carried out by the Adult Parole Authority. The study concerns the everyday functions of Ohio probation and parole officers.

Your contribution to the study has not yet been received. As one of those persons selected to participate in the study it is very important that you fill out the two T-M Scales and the APA Officer Data Blank and return them to the study director. Please do so without further delay.

Your cooperation is appreciated. If you did not receive the materials or have misplaced them advise us at once so that duplicate copies may be provided you.

Thank you for your participation.

Very truly yours,

Joseph R. Palmer, ACSW
Chairman, Parole Board
T-M Study Director
APPENDIX G

On May 18, 1970 you were mailed a letter from Mr. Joseph R. Palmer, Parole Board Chairman, advising you of an Adult Parole Authority study of the work of its staff. You were also provided certain materials being used in the study and were asked to complete two brief T-M Scales and an APA Officer data sheet, and return them to Mr. Palmer, who is the Study director.

To date your contribution to the study has not been received. Whatever the reason for this delay, it is now essential that you complete the two scales and data sheet and mail them to Mr. Palmer at once. The time required will be minimal. The scales simply gather opinion; there are no "correct" or "incorrect" responses. I assure you that none of the data which you submit will come to the attention of your employment superiors, including myself.

If you have misplaced the materials, advise Mr. Palmer in order to be provided duplicate ones.

R. E. Giannetta, Superintendent
Parole Supervision
Adult Parole Authority

CC: Mr. Joseph R. Palmer
APPENDIX H

GUIDELINES FOR JUDGING THE TREATMENT AND MEDIATION CONTENT OF TAPE RECORDED PAROLE OFFICER INTERVIEWS

1. Consider only that material which is either treatment or mediation type efforts by the parole officer.

2. For purposes of the T-M Study and your judging of the recorded interviews:

   a. "Treatment" means: All attempts to bring about reformation, adaptation, change or adjustment in the offender to his existing social circumstances. Treatment activities include listening, reassurance, persuasion, advice-giving, suggestion, guidance, teaching.

   b. "Mediation" means: All attempts to focus change effort not on the client, but on the social institutions which possess resources that are needed by the client. Objects of mediation efforts include members of the client's family, and his community's social and economic agencies. In this study "mediation" includes advocacy activities by the officer, on behalf of the client. Mediation activities include putting the client in touch with community resources, representing the client and his interests to community agencies, plus any other efforts which focus on the social service system, to supply existing resources to a needful client.

3. Judgments of the treatment and mediation emphases in the four officers' activities will need to be in terms of:

   a. Of all of Officer A's treatment and mediation activity (100%) % is treatment and % is mediation. (And so forth, for each of the four officers.)

   b. Therefore, the four officers should be ranked as follows, on a T to M continuum: (example)


APPENDIX J

July 13, 1970

INSTRUCTIONS FOR JOB EFFECTIVENESS RANKING
OF OHIO PAROLE OFFICERS PARTICIPATING IN THE
ADULT PAROLE AUTHORITY T-M STUDY

Attached is a roster of Ohio parole officers who
are participating in the APA T-M Study.

You are requested to assist in the Study by ex-
pressing your opinion as to the relative job effective-
ness of these staff members. "Job effectiveness", for
our purposes here, means the officer's willingness, ability
and follow-through in doing those things which are expec-
ted of a parole officer.

Please rank-order all of the officers listed, in
terms of their job effectiveness. That is, place the most
effective at the top of the list, the second most effec-
tive next on the list, and so forth. The last officer
on the list will, of course, be the least effective, in your
opinion.

As we have discussed, your rank-ordering list will be
considered strictly confidential and will be used for no
other purpose than the T-M Study.

Thank you for your participation in the Study.

Joseph R. Palmer, ACSW
T-M Study Director
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