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DISCUSSION PAPER ON CONDITIONAL RELEASE SUPERVISION  
STANDARDS

Conditional Release Supervision  
Standards Project  
Developmental Phase  
October, 1987

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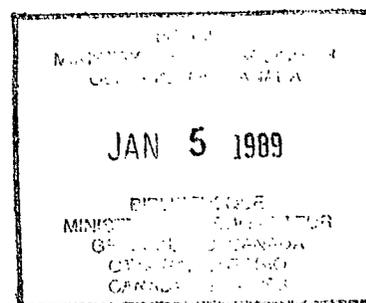
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## INTRODUCTION

In January, 1987, the Commissioner of Corrections and the Chairman of the National Parole Board undertook a major review of the standards which govern the community supervision of offenders who are released under the authority of the National Parole Board. This includes the supervision of released federal offenders by officers of the Correctional Service of Canada (CSC), by provincial officers under federal-provincial contracts, and by voluntary sector workers under contract with CSC. Also covered under the scope of this project is the supervision of provincial offenders released by the National Parole Board in the seven provinces which do not have their own parole authority.

This Discussion Paper is the basis for written consultations which will take place over the next several months with interested groups and individuals all across Canada. It follows the release, in June 1987, of the Report of a workshop held in March, 1987, involving representatives from the federal, provincial and private sector in corrections in Canada. Also released at that time was a paper by John Olver, of the University of Guelph, written under contract with the CSC, covering the literature on parole supervision and comparing some of the existing models of parole supervision standards.

You are invited to respond in writing to this Paper by December 31, 1987, at the address given below. We are also hoping to hold a limited number of workshops based on this Discussion Paper in January of 1988. After receiving your feedback, the Project Team will attempt to draft standards for supervision, which will then form the basis for in-person consultations in the Spring of 1988.

If you have any questions or comments about this process, or for additional copies of this Discussion Paper or the other reports referred to above, contact:

John Lawrence, Project Team Leader  
Correctional Service of Canada  
40 Baker Street, Suite 101  
Guelph, Ontario  
N1H 4G1  
(519) 821-2250

## SUMMARY OF CONSULTATION ISSUES AND OPTIONS

The following is a listing of the questions posed in this Discussion Paper about standards in the area of conditional release supervision, as well as a summary of the options and tentative conclusions or preferred positions adopted by the Project Team. It is offered as a guide and a quick reference for those who would like to respond to the issues.

Issue 1. How can we strike a balance between CSC's and NPB's need to be assured of quality supervision, on the one hand, and the need to preserve the independence and autonomy of the agency or organization, on the other? Is it necessary to have all contracting agencies and provinces agree to a single set of standards, or would it be sufficient for the Ministry to articulate its own standards and simply ensure that the contracting agencies' internal standards and practices meet our needs?

The Project Team's tentative conclusion is that there is no need to have every jurisdiction and private agency in the country agree on a single set of standards; the Ministry's only real need is to identify clearly the standards which should govern the supervision of offenders released by NPB. By definition, standards must be met, but they will not threaten the autonomy of contracting agencies by prescribing how they should operate or how they should be organized and managed.

Issue 2. Should there be special standards for special offender groups (Natives, women, offenders in rural areas)?

Option 2A. No special standards for special offender sub-groups; special needs of individual offenders are identified and addressed through the case plan.

Option 2B. (Project Team's preferred option) Standards indicate the needs areas which must be addressed in the assessment of offenders and the execution of the case plan.

Option 2C. Standards indicate both the needs areas which must be addressed in the plan, and the way in which the service should be delivered.

Issue 3. Should supervision standards set the "minimum" standard or "standards of excellence"?

Option 3A. Minimum standards which are clear, easily measurable, and readily attainable for all or most agencies.

Option 3B. Standards of excellence which are more qualitative, challenging, and cannot necessarily all be met at all times.

Option 3C. (Project Team's preferred option) Standards which establish minimum mandatory requirements which are essential to meet, and articulate objectives, principles and ideals which are desirable to meet.

Issue 4. What is the best way to articulate standards concerning the quality or content of supervision?

Option 4A. The standards articulate objectives and principles only concerning the content of supervision.

Option 4B. The standards articulate objectives, principles, and the essential elements of good supervision, without specifying how these should be carried out.

Option 4C. (Project Team's preferred option) The standards articulate objectives, principles, and the essential elements of good supervision, and specify certain requirements as to how these elements should be carried out.

Issue 5. Should there be explicit authority for making an exception to a standard in certain circumstances?

Option 5A. No authority; the standards are written in such a way as to allow for discretion in every element of supervision which necessarily requires the exercise of discretion, and those standards which allow no discretion do so deliberately.

Option 5B. Authority is set by NPB at the time of the releasing decision, and after the offender has been released to the community authority can only be given by a member of the NPB.

Option 5C. Occasional exceptions to a standard may occur on the authority of NPB or of a CSC section supervisor, District Director, or Area Manager, or their equivalents in the provincial and private sectors. Shortfalls in meeting the standard which would constitute an ongoing or substantive and significant change in the supervision plan, as discussed at the release hearing, would only be possible at the authority of the NPB.

Option 5D. As in Option 5B, but after the offender has been under supervision for six months, the authority for making exceptions to a standard would also rest with the CSC section supervisors, District Directors, and Area Managers.

Issue 6. How should the standards handle certain specific areas which are critical to supervision?

Issue 6A. Frequency-of-contact (FOC) standards.

Option 6A.1. Eliminate all FOC standards and rely on the quality control standards for supervision (as discussed in Issue 4).

Option 6A.2. (Project Team's preferred option) Retain FOC standards, but an offender's categorization into supervision categories would be done through an individualized assessment of his risk and needs.

Option 6A.3. Retain FOC standards only for the first six to twelve months of supervision.

Option 6A.4. Status quo.

Issue 6B. What should standards say about collateral contacts and home and community visits? Do you agree that supervision standards should require contacting the offender in the community and contacting other persons who know the offender in that setting as well? If so, should the standards specify how often? or specify that community contacts are preferable to or should be more common than office interviews?

Issue 6C. Gathering and Sharing of Information. Should supervision standards make reference to the quality and sharing of information about offenders? If so, how might such a standard read? Should it state the form in which information should be available to contracting agencies (i.e., summary form only, by copy of full file, full file except where the original source of the information objects, etc.)?

Issue 6D. Twenty-four-hour availability. Should standards deal with this issue? If so, should they mention the use of pagers, hours of work after 6 p.m., split shifts, duty officers, or weekend telephone numbers?

Issue 6E. Police Liaison. Should standards specify the requirements which make up proper police liaison, such as notification of initial parole status and changes in conditions, or advising police of the outcomes of suspensions? Should police be informed of all breaches of parole conditions?

Issue 6F. The Use of Volunteers in Supervision. Should standards require that volunteers go through a careful selection and training process before working with an offender? What limits, if any, should be placed on the role which a volunteer should and should not play (e.g., should not be used as a substitute for the supervisor's surveillance and counselling role)?

Issue 6G. Selection and Training of Supervisors. What should standards say about the selection and training of staff? Should they refer to general educational requirements and related experience, or be more specific about the required induction standards? Should reference to training include specification of its duration and subject matter? If any on-the-job training is provided, should standards address that as insufficient? Should standards provide for a probationary period sufficient to test the individual's suitability on the job? Should annual refresher training be mandated in standards?

Issue 6H. The Parole Officer's Brokerage Role. How should standards deal with the brokerage role? Should they, for example, require the supervisor to seek out and make effective use of community resources? to facilitate the development of resources which are not immediately available? to identify resources which should be evaluated as to their effectiveness?

Issue 6I. Case Conferencing and Quarterly Reports. Should standards require proactive case conferencing, and if so, in what detail (content, frequency)? Could the notes from case conferences replace Quarterly Reports except for specified cases? Should standards specify the occasions on which special reports to CSC and NPB must be made (transfer of supervision, apparent change in risk, etc.)?

Issue 6J. Criteria for Suspension. Should standards go more deeply into suspension policy and procedures? Perhaps by specifying an overall decision rule (such as whether the offender's risk can no longer be managed in the community) as well as the persons to whom the authority to suspend can and cannot be delegated?

PART A. BACKGROUND: CONTEXT OF THE PROJECT, AND THE NEED FOR STANDARDS

Goal Statement

The purpose of this project is to develop conditional release supervision standards for the use of all federal, provincial and private sector organizations responsible for the supervision of offenders released by the National Parole Board. The standards will, when implemented, contribute to the protection of society and promote law-abiding behaviour by conditionally released offenders.

Impetus for the Project

Several factors contributed to the decision to undertake this project to review, update and revise the federal standards governing community supervision of offenders. Two of these are particularly worth noting.

First, the existing standards, which are contained in the CSC's Commissioner's Directives, the CSC Case Management Manual, give little or no real direction as to the content or quality of the supervision which is expected, but rather concentrate largely on procedural matters. In particular, some of the requirements governing periodic reporting on individual cases are now considered to be too rigid and exacting. In addition, the "Operational Principles of Supervision" which were devised by CSC and NPB jointly, appear in the Administrative Agreement between NPB and CSC, but are on a very general level. A need is now felt to review these standards and have them reflect what it is we truly wish and expect from a high quality community service.

Second, private sector and provincial workers have increasingly become involved in the delivery of community supervision in the past few years. The province of Alberta now supervises, through a contractual arrangement, all federal offenders released to Alberta. In future, more federal-provincial arrangements of this type may arise, and the private sector's share of the community supervision workload may continue to increase. It is therefore becoming increasingly important for federal correctional agencies to be clear about their expectations regarding community supervision carried out both by federal employees and by others. Equally important, federal correctional agencies need to ensure that they do not impose unnecessary, arbitrary or unequal requirements on parole supervisors, be they federal, provincial or voluntary sector workers.

## The Use and Impact of Standards

For CSC, standards are a statement of the objectives and essential requirements for this important component of correctional programming. They form the basis for a series of management activities related to the supervision program, including resourcing, hiring, evaluation and monitoring. They should ideally guide decisions about sub-programs and activities like the purchase of service for offenders in the community.

For NPB, standards are the means by which the releasing authority is assured that a prescribed level of supervision will be consistently applied across the country, for offenders released under its jurisdiction. It is essential for NPB, as the releasing authority, to know in advance what to expect from supervision, since its releasing decisions are based largely on an assessment of the offender's risk, and on judgments about whether any risks can be managed in the community, through supervision-related activities.

For parole supervisors employed by CSC, the voluntary sector, or the provinces, standards are a statement of their professional mission, as well as a statement of certain essential expectations related to their day-to-day activities. They are a set of requirements which parole supervisors can expect will form the basis for formal monitoring, evaluation and audit of their performance, a framework for accountability.

For the offender, standards offer benefits as well, by (ideally, at least) clearly articulating for them the expectations and requirements placed on them while under supervision, as well as ensuring a certain measure of consistency in treatment and opportunities.

For the public, standards offer a measure of reassurance about the level of supervision which the offender will receive and about the commitment which the agency makes to provide a certain level of service.

### A Note about Resourcing and Audit

As suggested above, questions of resourcing and audit are necessarily implied in the setting of standards. Depending on what is required in a given set of standards, the cost of living up to them could be very high, or it could be relatively low. Then again, standards will determine the substantive basis for audit: if standards require only that a parole officer conduct surveillance on and suspend offenders as needed, that alone will

form the basis for monitoring and auditing of the parole officer's performance. Standards do not, however, dictate the form of the audit, such as by whom and how often audits will be done.

While this Project must remain cognizant of the resources realistically available for community supervision of offenders, and of the fact that standards will form the basis for audit, it is beyond the scope of this Project to address directly questions related to the adequacy of current or future resourcing, or questions related to the form of audits. There are currently separate projects being conducted within the Ministry of the Solicitor General related to these two important issues. In proposing a new set of standards, this Project must take note of these collateral exercises and the constraints they must grapple with, but we will not directly address these questions.

#### Previous Work and External Constraints

A great deal of valuable work has been done in the past on standards for community supervision. In particular, the Canadian Criminal Justice Association's (CCJA) standards in this area were the product of a lengthy consultation involving representatives from all major constituencies in Canadian corrections. This work will inform much of our own work.

Certain other constraints must be kept in mind during the course of this Project. Perhaps the most obvious is Section 15(1) of the Canadian Charter of Rights and Freedoms, which states that "every individual is equal before and under the law and has the rights to the equal protections and benefit of the law without discrimination and, in particular, without discrimination based on race, national or ethnic origin, colour, religion, sex, age or mental or physical disability". Although the implications of this Section for this Project are by no means clear, it does seem to be clear that we must remain sensitive to the need to ensure that any differences in the treatment of offenders released by the National Parole Board, and in particular their supervision by a variety of federal, provincial and private sector workers, must be based on reasonable and defensible grounds.

## PART B. ASSUMPTIONS, OBJECTIVES AND PRINCIPLES

In this section, we will delineate the assumptions and principles which the Project Team has to date concluded must inform our work. In Part C the reader will find certain other conclusions which we have reached about more specific issues related to standards. Here, we deal just with broad parameters.

### ASSUMPTIONS

First, as suggested in Part A, we assume that the purpose of standards is to define our expectations regarding supervision by setting measurable indicators of expected performance. Standards should reflect our vision of the quality, philosophy, purpose and principles of supervision. Standards should provide a basis for CSC and NPB to determine whether its supervision needs are being met, either by CSC employees or by others.

Second, standards must reflect and be compatible with the Mission Statements of both CSC and NPB.

Third, standards should be attainable. Although they should reflect our pursuit of excellence in supervision, there is no value and no sense in a set of standards which cannot be met.

Fourth, and by implication of the third assumption, resources must be provided and available to carry out the standards.

Fifth, standards should be clear, simple, understandable, and as few in number as is reasonably necessary to meet their objectives.

Sixth, standards should reflect procedural requirements (e.g., reporting requirements, deadlines to be met), but only to the extent necessary for mutual understanding of what is required at essential stages.

### OBJECTIVES

As our first assumption suggests, it would be impossible to establish a set of standards for community supervision without having a fairly clear idea of its purpose. To some extent, the purpose of supervision is dictated by the CSC and NPB Mission Statements. The Mission Statements alone do not provide sufficient guidance specific to community supervision. (See Appendix A for the text of the Mission Statements.)

Currently, Commissioner's Directives give the following objective for parole supervision:

"To help offenders become law-abiding community members by ensuring appropriate control and providing them with assistance and services so as to minimize the risk of their committing new offences."

This statement of the purpose of supervision encompasses the following concepts: that the ultimate aim is to prevent further criminal acts, that assistance and control are component activities, and that the offender himself must contribute to the process if it is to be truly successful (thus, we "help offenders to become law-abiding", but cannot achieve this end without their cooperation).

The statement also recognizes that supervision must involve an assessment of the offender's risk and needs, and a means to respond to them. This should include informing the releasing authority of any apparent worsening of the offender's risk, and/or of the parole officer's assessment that the offender's risk can no longer be managed safely in the community.

#### PRINCIPLES

Flowing directly from our assumptions and statement of objectives, the project team has deduced the following principles pertaining to standards for supervision as well as supervision itself.

First, standards should recognize the value of sound casework judgment and allow for the exercise of discretion by the parole officer.

Second, standards should reflect a high degree of professionalism in the carrying out of a parole supervisor's duties, and by implication they should reflect a high professional standard for the selection and training of supervisors. (This is not to say, however, that we do not recognize the value of volunteers in supervision - more about volunteer workers in part C.)

Third, standards should require the creation of a case plan (plan of supervision) against which progress in reaching achievable goals in the case can be followed. That is, good casework and sound management principles, such as setting and sticking to realistic goals, must go hand in hand.

Fourth, standards should require the releasing authority, the offender and the supervising agent to be given a clear understanding of the supervision (assistance and control) to which an offender will be subject if and when he is released.

Fifth, (and related to the third and fourth), the offender should be consulted initially and on an ongoing basis about the goals of the supervision plan, and should ideally feel some ownership with it.

Sixth, the supervision given offenders should be commensurate with the risk and needs they present. Necessarily, therefore, not all offenders will receive the same control and assistance. Standards should require the use of classification tools to assist the parole officer in assessing the offender's risk and needs.

Seventh, standards should reflect the fact that different approaches are required for different offenders.

Eighth, supervisors cannot "do it all" - meet all of the offender's needs by themselves. Brokerage and community development are therefore recognized as integral parts of the supervision role. Community services should be regularly surveyed and identified, and plans formulated to try to fill gaps in needed service.

Ninth, it is essential that all workers who will be affected by the standards receive training in them.

### The Philosophy of Community Supervision

Following on the Project Team's views about the objectives and principles of supervision, we wish to say a brief additional word about our "vision" of community corrections.

First, we favour an "active supervision" approach - not a passive or "opportunities" approach - which marries the three fundamental techniques of treatment, control and service. Active supervision is based on social learning theory, which stresses the client as the necessary focus for interaction, but only within an environment which includes definite interventions and interaction techniques designed to influence behaviour as it relates to criminal activity. The main techniques to be used are directive authority, anti-criminal modelling, problem-solving with a concrete focus, and the use of community resources and services to assist in the problem-solving process.

Second, supervision is necessarily differential in approach; not all offenders are alike, and they should not be supervised as if they were. The main tool of differential supervision is an effective classification system which guides the assessment of risk and needs, and the consequent assignment of clients to program models which best suit them. Classification is a

multi-purpose correctional tool which does not cease to be useful as soon as the offender is assessed; it guides placement, standards for supervision, and information and administrative functions like audit. However, classification is simply a tool, and not the substance, of supervision. Classification tools must constantly be tested against the population in question, and updated as needed.

Promising treatment models exist, but they do not always lie within traditional correctional practices, nor constitute a clearly understood body of professional expertise. It is hoped that the present exercise, of trying to establish workable standards in supervision, will actually help to promote a professional cadre and expertise in community corrections - rather than inhibit these important goals.

### PART C. MAJOR DIRECTIONS FOR SUPERVISION STANDARDS

The past several years have seen a number of different vogues in standards for various correctional activities. In this section, we will review three different overall "models" for standards, which tend to drive one's views of how the more specific questions in standards should be answered. (These more specific issues are covered in Part D.) In delineating three general models for standards, we hope to focus the later discussion more clearly.

#### Model A.

Model A for supervision standards would see standards as consisting essentially of a statement of the objectives and principles of supervision. Thus, standards would be few in number, and would consist of statements such as "The supervisor shall assist the offender to remain crime-free and to address his needs by providing assistance and services, and by facilitating his/her utilization of services available in the community."

This model is based on concepts of discretion and professional expertise of the parole supervisor. It embodies a high degree of trust in the supervising agency's ability to deliver a good quality service. Under this model, monitoring and audit would involve a great deal of interpretation on the part of the auditor of what is meant by "addressing the offender's needs", "providing services", and so on.

This model can be found, in the Canadian context, in such documents as the 1985 Administrative Agreement between CSC and NPB, which refers to these standards as "operational principles".

#### Model B.

Model B would be essentially the converse of Model A. Rather than concentrating on the overall purpose and principles of supervision, this model would concentrate on ensuring that certain non-reducible requirements were spelled out and implemented. The model would lead to such statements as "The supervisor shall see the offender at least once every three weeks for the first six months after release" and "Every violation of a special condition shall be reported immediately to NPB."

This model thus is based on a lesser degree of trust in the discretion and judgment of supervisors, and yields less of a sense of the "mission" of supervision. Under this model, audit and monitoring is a fairly straightforward matter of checking performance against requirements which do not need much interpretation. However, the audit process requires detailed record-keeping on the part of the supervisor, to document the fulfillment of the standards.

Examples of this kind of standard are found in the American Correctional Association Commission on Accreditation's standards.

#### Model C.

Under this model, statements of objectives would be amplified by standards which give some guidance as to how the objective would be fulfilled. Standards specifying minimum requirements would be present only to the extent considered absolutely necessary. Thus, this model represents something of a middle ground between the other two. Examples of such standards might be "The offender is expected to make measurable progress on attainable goals specified in the case plan," or "The supervisor holds regular case conferences with his/her supervisor in order to discuss case progress."

Audit and monitoring under this model would involve less interpretation on the part of the audit team of the meaning and intent of the standards than would be present under Model A, but more than under Model B. Audit would focus on the extent to which progress is made in the case, and the extent to which certain minimum requirements are fulfilled.

This model is the Project Team's preferred model as of now.

#### Discussion

It is hoped that these models will assist the reader in answering the specific questions about standards which are posed in the next Part of this paper. Certain responses to these questions tend to follow from one's choice of an overall model, although individual variations are to some extent expected.

In the following Part, the reader will also find some issues related to one's overall model reflected in the discussion, especially in questions 3 and 4.

#### PART D. KEY ISSUES IN SUPERVISION STANDARDS

In the following section we will review the issues which are central to the development of standards governing the supervision of offenders. With issues where it makes sense to do so, the Project Team will delineate various options for approaching the issue, and in some cases will indicate its preferred option and even suggest possible wording for a standard. This is not to say that the Project Team is not open to alternative ideas. Rather, the Project Team wishes to be as clear and as focussed as possible in the ideas presented in this Paper, in order to generate useful discussion.

Issue 1. How can we strike a balance between CSC's and NPB's need to be assured of quality supervision, on the one hand, and the need to preserve the independence and autonomy of the agency or organization it contracts with, on the other?

The Project Team is sensitive to the need to reassure private and provincial agencies that their independence from the Ministry of the Solicitor General, and their organizational and professional integrity, will be preserved as much as possible. The Ministry has no interest in interfering with the conduct of outside organizations, nor imposing unnecessary and inappropriate requirements upon them. Standards for supervision are in no way intended to dictate to such agencies how they should run their organizations, be organized or be managed, other than in respect of case management. The Ministry's key requirement, from which all secondary requirements flow, is to ensure that it receives the kind of community supervision of its offenders which it deems necessary. No superfluous requirements will be imposed.

It is hoped that agencies will agree with the statement of supervision philosophy stated at the end of Part B, and in so agreeing, will be able to make an informed decision about whether or not to provide the service on contract. Necessarily, any contract will involve specification of the service to be delivered, and in that sense will affect the contractor's "autonomy" to deliver a service without meeting specified parameters. As part of its accountability to taxpayers, the CSC in particular must ensure that public monies achieve the desired result. This will necessarily imply the setting of standards governing the service purchased, and some form of evaluation or audit against those standards. Any agency which conducts supervision for the Ministry must be prepared to adhere to the standards which are established for supervision.

The Project Team wishes to reassure potential and actual contractors that, while we consider it essential that contractors agree to adhere to standards for service delivery, we also consider it essential that standards reflect only those requirements which are necessary.

Perhaps the question of standards vis-a-vis the independence of agencies outside the Ministry of the Solicitor General comes down to a more practical question: Is it necessary to have all contracting agencies and provinces agree to a single set of standards, or would it be sufficient for the Ministry to articulate its own standards and simply ensure that contracting agencies' internal standards and practices are consistent with and do not contradict those of the Ministry?

The Project Team believes that the answer to this question must clearly be that there is of course no need to have every jurisdiction and private agency in the country agree on a single set of standards governing conditional release supervision. Most such agencies have established their own standards and it would be foolish to ask them to abandon one set of standards in favour of another, when the Ministry's only real need is to identify clearly the standards which should govern the supervision of offenders released by NPB, and to ensure that these are adhered to.

Both the Ministry standards and, where appropriate, the contracting agency's own standards can be incorporated into the contract for the supervision of offenders released by NPB. This might be particularly applicable where, for example, an agency became involved in supervising a significant number of special needs or special profile offenders, or where an agency offered a special program; here it would make sense for the agency's own standards governing those activities to be incorporated separately into the contract.

Issue 2. Should there be special standards for special offender groups (Natives, women, offenders in rural areas)?

One of the problems with standards in the past has been their over-generalization: they required that all offenders be treated the same, with some exceptions relating to the time which the offender has served under supervision.

This ignores the obvious reality that offenders' risk or treatment needs are very different. In the setting of standards and in the supervision of offenders, the need for differential treatment and intervention with different offenders is often

overlooked. Nothing will work for all! In order to be successful, community supervision must match offender needs to program options, be multi-faceted and involve multiple modalities. Necessarily, different offenders will and should be handled differently.

But does the need to treat different offenders differently imply that standards should go so far as to specify particular requirements respecting the supervision of identifiable sub-groups of offenders?

This perhaps is a question which arises mostly in connection with identifiable "minorities" in corrections, such as the female offender and the Native offender. Women leaving penitentiary, more often than men, have needs relating to child care, for example, and the life skills needed to cope with that. Native offenders may have particular spirituality needs and acute needs in employment and substance abuse areas. But one could also envisage standards relating to how to run sexual dysfunction programs and anger control programs.

There appear to be three general options regarding standards for special offender sub-groups.

Option 2A. No special standards for special offender sub-groups; special needs of individual offenders are identified and addressed through the case plan.

Under this option, although we recognize the need for differential intervention, it is also recognized that there are no hard and fast rules about how to intervene, or at least none that we can be sure, from extensive evaluative studies, are effective.

Option 2B. Standards indicate the needs areas which must be addressed in the assessment of offenders and the execution of the supervision plan.

Under this option, the standards would merely require the supervising agency to provide that certain needs areas, which are listed in the standards, be met if they are connected to an offender's criminal activities. The standard does not indicate anything of how the needs should be met. They could, for example, be met through direct delivery of service or through referral or purchase of service. Perhaps the standard would have to indicate that certain programs or services be provided "only where numbers warrant", in order to meet concerns about offenders living in less populated areas and other problems with service availability.

Option 2C. Standards indicate both the needs areas which must be addressed in the plan, and the way in which the service should be delivered.

As noted above, agencies which have developed a specialization with certain offender types or intervention strategies might develop standards on working with these special cases. Under this option, standards might go so far as to suggest a highly directive or non-directive approach with certain offender types, or might specify a maximum worker-to-offender ratio for the program.

These types of standards would presumably be specific to certain offender sub-groups and would be used either where CSC and NPB wish to ensure that a certain type of program is available, or where both CSC and the supervising agency wish to establish a special rate of payment for a highly specific program. It is difficult to imagine the length of a set of standards which established intervention guidelines for every type of offender!

The Project Team's preferred option is Option 2B. This option would leave the supervisor with the discretion to decide which elements belong in the supervision plan, but would mandate him/her to consider certain needs areas before finalizing the plan. The manner in which the plan is carried out, too, is left to the supervisor and his/her manager or section supervisor to decide through case conferencing, within certain limits established by other constraints.

Issue 3. Should supervision standards set the "minimum" standard or "standards of excellence"?

The question of excellence or quality inevitably arises in the question of standards. The Concise Oxford Dictionary offers, among others, the following definitions of a standard:

"Weight or measure to which others conform or by which the accuracy or quality of others is judged" ...

"Degree of excellence ... required for a particular purpose" ...

Most would agree that standards in the field of social service are generally introduced in order to seek and promote a degree of excellence and quality. However, minimum standards or standards produced by commissions on accreditation such as the American Correctional Association (ACA) are often criticized because they are primarily procedural or structural in nature

and because they do not offer the prescription to a level of excellence which most organizations would like to achieve. At the same time, most correctional agencies are not prepared to abandon minimum, mandatory or essential standards which help to ensure a basic or guaranteed level of service.

One of the principles articulated earlier about standard-setting is that standards should be clear, simple, understandable, measurable and attainable. We also stated, on the other hand, that they should reflect a high degree of professionalism, should allow for the exercise of discretion, and should be directed towards a clear purpose or mission. The expectations and requirements for the organization, for managers, for parole supervisors and for offenders should be clearly articulated, monitored, audited and evaluated. A tall order!

Reference to a recent Canadian experience in the development of correctional standards, by the CCJA (Canadian Criminal Justice Association) illustrates the different views on standards of quality. The CCJA standards were written to reflect the preference by most parties involved in their drafting that standards should be objective and should provide fairly readily for assessment of an agency's performance on them, and should not attempt to deal with elements of quality or content in supervision, which would be difficult and expensive to meet and which would require subjective judgment in their measurement.

Now, several years after the development of the CCJA standards, there is an increased interest in trying to develop workable standards which can accomplish what was then felt to be an impossible goal. Ironically, the question of cost in current times of restraint is more critical than it was a few years ago when the CCJA standards were being written.

This fundamental question of "minimum" standards and "standards of excellence" is still very much an open one, however. The principal options appear to be:

**Option 3A. Minimum standards which are clear, easily measurable, and readily attainable for all or most agencies.**

Minimum standards clearly meet the requirement of being precise, concrete and measurable. They are particularly amenable to the identification of the amount of and procedure whereby a level of care is provided. Frequency-of-contact standards are a good example of minimum standards in supervision.

The ACA standards, too, are primarily structural in nature, and collectively provide a sort of framework whereby correctional goals could be accomplished. For the most part, the ACA standards are clear and measurable; they cover administrative, personnel, financial and management areas as well as the actual business of supervision itself.

These are some examples of standards which are clear, leave little room for interpretation, and do not attempt to make prescriptions about the quality of supervision and the content of reports:

"Supervision services are available 24 hours a day"  
(ACA)

"The parole service utilizes a method of classification which delineates the level of supervision to which parolees are assigned" (CCJA)

"A supervision plan is recorded in the parolee's file within four weeks of the coming into force of an order for supervision. The plan includes, at a minimum:

- A. The frequency of anticipated contact with the parolee (if not specified in the order)
- B. An assessment of the parolee's ability to continue to meet the obligations of the parole order
- C. A further assesment of the level of risk of illegal acts
- D. An assessment of the personal and social needs which, if met, will assist the parolee to meet the obligations of the order for supervision."  
(CCJA)

The advantages of Option A are several. It would most likely be acceptable to all provinces and agencies. It would provide for a basic, essential level of service which would not limit the possibilities for going further. It would make the determination of resource requirements fairly straightforward. Monitoring, audit and evaluation would be made easy by reason of the clarity and measurability of the criteria and activities.

The disadvantages are also several. Minimum standards alone have a tendency to become "maximums", as individuals and organizations find the "lowest common denominator". In times of restraint, they are seen as an acceptable level of service and thereby discourage the search for better methods or practices. They do not allow for much flexibility or discretion in their application, which has the effect of dampening professionalism and pride in the service being provided. The auditing and

evaluation of minimum standards encourages a checklist approach to the task and focuses primarily on factors which can be quantified, such as the number (not content) of supervision contacts, or the extent of recording and reporting. Many people would argue that the kinds of minimum standards cited above are not the kind of standard we should be after at all, but rather are more in the nature of things which are done with the intent of achieving a broader goal; this goal or goals are, in effect, what standards should address.

**Option 3B. Standards of Excellence which are more qualitative, challenging, and cannot necessarily be met at all times.**

If minimum standards meet Don Storch's (1987) definition, as discussed at the seminar in Hull in March, 1987, of "structural" standards which promote "good facilities", standards of excellence are more likely to be addressed towards "good practices" and "good results". Professions like medicine and social work usually favour process standards which address such areas as the nature of relationships, the process and content of interviews, and preferred theoretical models. These standards are hard to write, more difficult to monitor, and demand the observation, recording and assessment of relationships between those who receive and deliver services. Standards which specify results to be achieved may be fairly easily written, drawing on recidivism measures and on intermediate measures (such as getting a parolee to cut down his drinking), but also demand a complex monitoring method in order to assess fairly what is a reasonable measure of progress on an attainable supervision goal.

This Option has the advantage of offering a challenge to all participating organizations to evaluate their current practice. It would be an opportunity to determine what works best and to commit time and resources to the development of better practices. The ultimate goal of excellence would be reflected in an attitude of professionalism and commitment to the mission of the organization.

The disadvantages of this Option are that it could waste effort on a standard which might provide little measurable basis for assessment. The implicit assumption that minimum standards are not needed would be severely tested. The resultant standards might suffer from vagueness and lack of clarity.

Option 3C. Middle ground: standards which establish minimum mandatory requirements which are essential to meet, and which articulate objectives, principles and ideals which are desirable to meet.

Under this Option, it is recognized that there are certain essential, basic, non-negotiable dimensions of supervision which must not be violated and are therefore mandatory. These represent the bare minimum to expect: that an offender's disappearance or violation of a "special condition" must be reported, for example. These minimum requirements, and other requirements which are not of a minimal nature but are essential to fulfill, form the essential standards.

However, in recognition of the higher objectives of supervision, under this Option there would also be a second order of standards, encompassing objectives, principles and ideals which are not easily met by all agencies, and not easily translated into objective, measurable criteria. These guidelines would be seen as desirable (as compared to essential) to achieve, and indeed could probably not be achieved in all cases. However, they represent the agency's statement of excellence, to which it will strive. During the audit process, all essential standards must be met, and an assessment is made of the extent to which the agency is making progress towards meeting desirable standards. The Ministry's goal would ultimately be to see all CSC parole supervision offices and all contracting agencies meet both essential and desirable standards, but the Project Team does not foresee a rigid timetable for achieving this end.

The advantage of this Option is that it both ensures that the basics get done and supports the achievement of higher goals and better practices. It states that while certain minimum standards are still needed, these should not restrain the organization from seeking to achieve a higher order of creativity and quality. It permits flexibility and discretion. It makes the essential clear and the ideal visible.

The disadvantage is that the ideal will be ignored because it is not a standard as such - in the sense that its achievement would be seen only as "desirable", at least in the short term - and is subject to wide interpretation. Progress in achieving the ideal might therefore be slow or non-existent. The irksomeness of the minimum standards could actually promote a tendency to seek the lowest common denominator.

The Project Team's preferred option is 3C. It seems to strike the best balance between practicality and the need to constantly improve. It also leaves professional supervisors with a clear sense of the ultimate mission of the service, and best meets the test of being "a shield as well as a sword".

Issue 4. What is the best way to articulate standards concerning the quality or content of supervision?

This question flows naturally from the one just discussed. If we have decided to establish standards of quality as well as minimum and procedural standards, how best do we articulate this ideal of quality?

Setting such standards is made difficult by the wide variety of offenders and interventions which are possible to encounter, and by the great number of factors which will influence the supervisor's capacity to achieve quality results: the case preparation process in the institution, the assessment of risk and needs, pre-release planning and preparation, the quality of NPB decisions, the nature of community supports and resources, the contacts between the offender and his supervisor, the knowledge and abilities of the supervisor, the offender's attitudes, values, beliefs, peer group influences, and so on. The list is virtually endless.

The following seem to be the general options which are emerging:

Option 4A. The standards articulate objectives and principles only.

Under this Option, the statements of objectives of supervision and the principles which govern them (much like those which appear in Part B of this Paper) form the standards which govern the quality and substance of supervision. The rest is left to the discretion and professional judgment of staff.

This Option has the advantage of being relatively concise, clearly and easily understood, and acceptable to managers and supervisors. It can exert a powerful influence in the direction of excellence. It unequivocally recognizes the value of casework discretion and sound professional judgment. A sense of mission would be promoted and the autonomy and independence of agencies and supervisors would be preserved.

Its disadvantage is that it does not take us very far, and that through varied interpretation might promote disparity. Such standards would not present a particularly useful basis for evaluating the effectiveness of service delivery.

Option 4B. The standards articulate objectives, principles and the essential elements of good supervision, without specifying how these should be carried out.

Under this Option, the standards would go farther, and would have a tendency to structure, to some extent, the use of discretion in community case management. Some examples, which are offered here for illustrative purposes, might be:

"The case worker, in consultation with the offender, develops a supervision plan which reflects risk and need; the plan is then approved by the agency supervisor"

"The supervisor is expected to make measurable progress on attainable goals specified in the case plan"

"The case worker holds regular case conferences with the agency supervisor in order to discuss case progress"

This Option has the advantage of helping to strengthen the casework process by, for example, emphasizing the need to set attainable goals and work on them. The use of fairly general standards pertaining to the content of supervision still offers a degree of flexibility in their application which does not interfere with the professional autonomy of the worker. Such standards do, however, provide some basis for evaluating the effectiveness of service delivery.

On the other hand, these standards offer very little in terms of the substance of a quality interaction between offender and supervisor. They may do little to promote excellence in supervision.

Option 4C. The standards articulate objectives, principles, and the essential elements of good supervision, and specify certain requirements as to how these elements should be carried out.

This Option is based on the belief that it is possible to state with some specificity a number of the elements which go into good supervision, as well as some of the ways in which these elements should be fulfilled, in terms of structure, processes, personnel, and casework content.

Illustrative of such standards, offered here as examples, are the following:

Structure

"The organization or agency should articulate and publish a sound theoretical model which clearly directs the activities of its managers and staff as corrections professionals."

Process

"The supervision of offenders should be based on a thorough assessment of risk and needs, and on a classification model which provides for differential strategies of intervention."

Personnel and Training

"All corrections professionals should be provided with a program of orientation, training and development covering techniques of interviewing, case planning, crisis intervention, and case management by objectives."

Case Management

"Having completed an assessment of risk and needs, the supervisor must determine the appropriate intervention strategies for each case based on his/her judgment of the priorities in the case. In developing the program plan, the supervisor will ensure that needs which are seen to require immediate attention will be dealt with on a priority basis. The program plan will specify concrete objectives for each case."

"The supervisor will routinely document his/her casework activities through a personal logbook or other means, and will initiate a regular case conference review of all cases with the immediate supervisor or another senior caseworker. The focus of attention should be those cases who are seen to represent the highest risk and/or needs. The purpose of case conferences should be to review progress on objectives established in the program plan for each case."

"Whenever the risk is seen to exceed the acceptable level of safety in the community, immediate steps must be taken to reduce or minimize the risk. The supervisor must take account of all information or clues which provide evidence of deterioration in behaviour and a corresponding increase in the risk to the community."

"The content of the casework interview should be directed towards assisting the offender to develop problem-solving skills with a concrete community focus. Non-directive relationships should be avoided."

"The supervisor should make effective use of community resources in assisting the offender to deal with identified needs. The supervisor and his/her agency should undertake to seek out or facilitate the development of resources that are not immediately available. Referrals to other agencies or individuals should not, however, be considered as an alternative to intervention and counselling by the supervisor."

These standards provide clarity in expectations, not only for the supervisor but for the agency and its management as well. They provide a solid professional orientation to the entire range of contacts with offenders without restricting the supervisor's discretion to treat different offenders in very different ways. They tell the public what to expect from supervision. They are an organizational statement of good casework rules and principles, and may help promote excellence in casework. They are explicit enough to be used as a basis for measuring service delivery if it is recognized that professional judgment is a legitimate component in the evaluation of programs and services.

However, they may be seen by some as interfering with the discretion and autonomy of professionals. They may also not be attainable in times of restraint.

The Project Team's preference is Option 4C.

In expressing this preference, the Project Team acknowledges that many readers will likely support one of the remaining options. There is significant support, for example, for merely articulating the objectives of supervision and the principles whereby it should be carried out; this would leave room for each supervising agency to act according to its own operational guidelines, so long as these were consistent with the objectives and principles. Audit and

monitoring of performance would be a matter of determining whether the objectives of supervision had been carried out, and carried out according to principles. Readers are invited to study the objectives and principles given in Part B, as well as the sample standards given above, and to comment on the effectiveness of the three options outlined above.

Issue 5. Should there be an explicit authority for making exceptions to a standard in certain circumstances?

The Supervision Standards Seminar held in Hull in March, 1987 raised the notion of providing for the "waiver" of the standard in certain circumstances. This was seen as an extension of the principle of discretion of the supervisor, and simply necessary in emergencies and other real-world situations. The Project Team believes that, given the complexities of supervision and the lives of the people affected by it, occasions will inevitably arise when a standard is not, or cannot be met.

Of course, the extent to which a waiver of standards becomes necessary will be determined by the level of specificity of the standards. A large number of highly specific standards perhaps should include an explicit waiver authority.

However, the Project Team's assessment is that support for these types of standards has largely dissipated, and one can expect instead that future sets of standards will tend to contain a very limited number of highly specific standards. The vast majority of standards would, however, be based on an assumption that the professional expertise of the supervisor grants him or her a discretion, within limits, which standards reflect.

In a system of standards where discretion was built into the wording of virtually every standard, the need for over-ride authority would be less common. For some, a "standard" is by definition a statement of what is essential and appropriate, and ought not to be subject to exceptions at all. Rather, standards should be written in such a way as to anticipate the circumstances which would require a departure from normal procedures.

The over-ride situation most frequently raised is that of the offender who is released to an underpopulated area which is a considerable distance from the supervisor's offices. The supervising agency may not have the time, the opportunity, or the budget to send a supervisor to see the offender as often as the frequency-of-contact standards require. To have the

offender travel to see the supervisor would create problems for the offender's employment, family, treatment plan, or budget. In these situations, the standard cannot be met, and the supervisor and the agency should not be put in the position of pretending that it is being met.

At least four options seem to present themselves.

Option 5A. No authority; the standards are written in such a way as to allow for discretion in every element of supervision which necessarily requires the exercise of discretion, and those standards which allow no discretion do so deliberately.

Under this Option, no waiver of standards is permitted. Rather, standards are written in a way which allows for circumstances which may arise. In the frequency-of-contact example given above, the standard would be written to allow for contact to be made with remote areas by telephone or by means of alternate supervisors, such as police or volunteers.

Option 5B. Authority is set by NPB at the time of the releasing decision, and after the offender has been released to the community, over-ride authority can only be given by a member of the NPB.

Under this option, at the time of pre-release planning, the case management team assesses which, if any, of the supervision standards would likely be unachievable in each case, for reasons such as a release to a distant area. The NPB would be informed of the anticipated shortfall, and would authorize the over-ride of the standard if it is reasonable to do so without making the risk to the public unacceptable. Thereafter, the NPB must also be informed of every instance of a future need for over-ride (such as if the offender must suspend participation in a program required as a special condition) or an over-ride which has already occurred, through inadvertence or inability to notify the NPB in time to seek prior authority.

Option 5C. Occasional exceptions to a standard may occur on the authority of NPB or of a CSC section supervisor, District Director or Area Manager, or their equivalents in the provincial and private sectors. Shortfalls in meeting a standard which would constitute an ongoing or substantive and significant change in the supervision plan, as discussed at the release hearing, would only be possible on the authority of the NPB.

The present CSC Case Management Manual allows for exceptions, for example, to the frequency-of-contact standards on the authority of the parole officer's immediate supervisor, after "an in-depth study of the case"; the rationale for such a decision "must be documented on file". This option would preserve this basic approach, except that NPB concurrence would be required if the waiver constituted a significant change in the supervision plan as approved by NPB at the release hearing. Otherwise, the discretion to make exceptions to the standards would rest with a senior worker (not the parole supervisor, but a middle manager or a senior colleague, after consultation with the supervisor).

Option 5D. As in Option 5B, but after the offender has been under supervision for six months, the authority to make exceptions to a standard also rests with the CSC section supervisors, District Directors and Area Managers.

This option is based on the observation that the first few months after release tend to be the most critical in the offender's success or failure in the community; arguably, more discretion to allow exceptions to standards should be available after this critical period has passed.

The Project Team has not yet reached a tentative position on this issue. In reaching a conclusion on this issue, it would be helpful for the Project Team to hear more from people in the field about the kinds of situations in which standards are most likely not to be met in certain cases.

Many people clearly feel that by definition, a standard must be met in all cases, and if it is not, the supervision is inadequate. This view is consistent with support for standards which are drafted in a very flexible manner, or are primarily expressions of objectives and principles. At the other extreme are those who feel that standards should be more explicit about how the service is delivered, and that inevitably under such a regime, there will be exceptional circumstances which call for exceptions in the adherence to a standard.

Issue 6. How should the standards handle certain specific areas which are critical to supervision?

In this section, the Project Team discusses several detailed issues in supervision standards, ones which are particularly critical, controversial, or difficult to resolve.

### Issue 6A. Frequency-of-contact Standards

The CSC Case Management Manual and an October 1984 addendum to it outline the supervision categories (intensive, active and periodic) into which offenders are divided, and specifies the frequency with which the supervisor should see the offender in each of these categories. The Manual emphasizes that these frequency-of-contact (FOC) standards are minimum and "must be achieved in all cases and will be exceeded as deemed appropriate in individually assessed cases."

Intensive supervision applies to all day parolees; to all full parole and MS cases for the first six months they are out in the community; to all offenders who committed or attempted to commit a crime of violence for which they were convicted on the current term or within the last seven years; to all persons involved in organized crime; and to all cas celebres. These last three groups "shall remain" in the intensive category for a minimum of one full year after release, and longer if considered necessary. Offenders then remain in the active supervision category for a period of three to six months, or six full months for the violent, organized crime, and cas celebres. For those offenders who have demonstrated that risk is minimal, periodic supervision is permitted after the period of active supervision is completed. Authority to change the category of supervision rests with the Area Manager, Section Supervisor, or District Director following a review of the case with the parole supervisor.

Minimum FOC standards have been linked (see, for example, the Solicitor General's Study of Conditional Release, 1981) to parole staff's sense of a loss of "mission" and the perception that what is important is "quantity control". This can be contrasted somewhat with the new Case Management Strategies approach, which focuses on meeting the offender's needs as much as on the frequency of contact, and establishes strategies for responding to the offender's individual needs. This approach is more in keeping with the CCJA standards in this area.

There are a number of options for approaching the FOC standard question.

Option 6A.1. Eliminate all FOC standards and rely on the quality control standards for supervision discussed earlier under Issue 4.

Under this Option, the frequency with which the supervisor will see the offender is roughly determined during pre-release planning, in order that NPB can be aware of the type of supervision to expect. This rough determination is refined after the offender is again assessed after his release into the community.

Option 6A.2. Retain FOC standards, but an offender's categorization into supervision intensities would be done through an individualized assessment of his risk and needs.

This assessment of the offender would be done with the assistance of a classification tool to guide the consideration of risk and needs. (CSC is at present developing a classification tool to guide supervisors' assessment of the offender's risk and various needs.) As the parolee progressed in a positive fashion or began to deteriorate, another assessment could move him into another classification which would increase or decrease the FOC. In these cases, NPB must be informed of any apparent deterioration in the offender's risk.

Option 6A.3. Retain FOC standards only for the first six to twelve months of supervision.

This would be identical to the current CSC standards on FOC, except that full discretion would rest with the supervisor and his/her manager to decide, after a certain mark in the supervision, what the frequency of contact should be. This Option is based on recidivism patterns which indicate that trouble occurs, if it does, most often during the initial few months of supervision.

Option 6A.4. Status quo.

The last three options would thus require FOC standards to be set. The first option would leave the frequency of contact to be decided ultimately by the supervisor and his/her manager. This option would represent the unadorned professional evaluation of the supervisor as to the offender's case needs and risk. It may not be acceptable from a public policy standpoint,

since there is some feeling that the public expects to know roughly how much contact there is between offender and worker when someone is released from penitentiary. FOC standards were, it should be recalled, introduced as a response to audits of a number of "sensational" incidents involving released federal offenders, in which the contact between supervisor and client was perceived to be infrequent. FOC standards do allow for the public to be reassured that offenders are indeed being seen at regular intervals.

The Project Team's preference is Option 6A.2. FOC standards have important uses, and the Team feels that they are more workable with an improved classification method. If there remains a feeling that "quantity control" is still what is truly important, the Team believes that there are other, better ways to convince parole supervisors that CSC and NPB believe instead that it is the quality of contact which most matters in supervision.

In expressing this preference, the Project Team recognizes that there is a significant body of support for the elimination of FOC standards. Many people feel that these types of standards tend to become seen as the optimum, rather than the minimum, and that they discourage the sound exercise of casework judgment.

Issue 6B. What should standards say about collateral contacts and home and community visits?

Related to the FOC standards is the perceived need in supervision for the supervisor, as much as possible, to be in the community, away from his desk and able to have an appreciation of the offender's milieu. As the 1985 Administrative Agreement between CSC and NPB states: "Ongoing contact with the offender's friends, employer, the police and others in the community who have knowledge of the offender's behaviour and activities will enable the supervisor to gain a comprehensive understanding of the offender's environment and to know how he interacts at home, at work and in his leisure hours. ... Although appointments in the parole office may be appropriate in specific instances (i.e., for disciplinary interviews or planning sessions) home contacts and visits in the community are an extremely important part of supervision."

The Project Team agrees that collateral contacts and home visits are important to the supervision process. The present CSC Manual states that supervisors should determine when it is appropriate to meet in the office, community or residence.

A recent Coroner's inquest in Ottawa to investigate the murder of a halfway house employee by a parolee recommended that "More meetings should take place between the parolee and parole supervisor in the community." The ACA standards "require that the field officer contact the offender in the community and contact persons and agencies that are familiar with the offender".

Do you agree that supervision standards should require contacting the offender in the community and contacting other persons who know the offender in that setting as well? If so, should the standards specify how often? or specify that community contacts are preferable to or should be more common than office interviews?

#### Issue 6C. Gathering and Sharing of Information

The need for a supervisor to have full information on the offender is essential to proper case management. This applies in the case of supervisors working directly for CSC as well as supervisors who work on contract with CSC. It also, of course, applies to NPB.

CSC supervisors do not always have full information when working on a case; medical and psychological/psychiatric summaries done by CSC staff and education and training reports from institutions are not always made available to case management staff at the time of a request for a community assessment or where a conditional release decision is made.

The sharing of information about an offender with private or provincial agencies seems to vary considerably from one area or case to another. In May 1987 CSC distributed the document Information Sharing - A Guide for Staff which suggests the following: "It is important to provide agencies with comprehensive and accurate information concerning the offenders referred to them so that they may ensure that appropriate types of supervision and programming are afforded to the individuals." Recent progress has been noted in that some reports are being shared directly with agencies and a more open exchange of information is being encouraged. CSC is currently reviewing practices in this area.

The Project Team feels that this situation is not the ideal, and that perhaps standards should establish better practices, since it is our view that the supervisor should always have as full a picture as possible of the individual he or she is supervising.

The Ruygrok Coroner's inquest recommended that "there be a clear definition of the roles and responsibilities of the CRC [halfway house] and CSC to ensure a complete exchange of information regarding residents and their parole plan." Arguably, this is even more important for an offender who is not in a CRC, but out under less frequent observation in the community. The CCJA standards state, as a goal for information systems in parole, that information must be "accurate, purposeful, in compliance with legal requirements, and protected from unauthorized disclosure." Some police forces object to the sharing of certain police information with offenders and workers who are not peace officers.

Should supervision standards make reference to the quality and sharing of information about offenders? If so, how might such a standard read? Should it state the form in which information should be available to contracting agencies (i.e., summary form only, by copy of full file, full file except where the original source of the information objects, etc.)?

#### Issue 6D. Twenty-four-hour availability

Both the ACA and the CCJA have a standard that supervision services must be provided "beyond regular office hours" (CCJA) or "24 hours a day" (ACA). The CSC does require parole officers to be available after regular office hours, and this is met by a telephone answering service connected to a duty officer. A number of larger private sector agencies use the same system. Some private agencies give the offender the supervisor's home telephone number; other agencies take the position that most supervisors are "not available" after office hours.

Most after-hours calls seem to be from parolees seeking permission to travel outside their designated area, and from police agencies or halfway houses concerning the behaviour of offenders.

The employment contract governing CSC parole officers states that the normal office work week is from Monday to Friday and that the normal workday shall be between 7 a.m. and 6 p.m. These hours leave little time to see offenders and collaterals who work during the day too. They also make contacts with offenders during a weekend TA difficult. Some supervisors are unwilling to work overtime; payment for or time off in lieu of overtime is not always available or formally sanctioned.

The ACA standard suggests, as a partial approach to this question, that "use should be made of split shifts, duty officers, paging systems and weekend telephone numbers."

Should a similar standard be built into our supervision standards?

#### Issue 6E. Police Liaison

Relations with local police are particularly important to release supervision. The role of police authorities in the federal correctional system begins with requests for offence reports and police opinion at the time of penitentiary placement. At the pre-release preparation stage, police are consulted and if release is granted, most offenders are required to report to the local police on a regular basis. If a parolee is charged with a new offence, police notify the supervision office. If parole is suspended, a police officer executes the warrant.

The CSC Case Management Manual now requires too that police be advised within 48 hours of the CSC's actions in response to any incident, arrest or charges laid in connection with an offender under supervision.

The Ruygrok Coroner's inquest recommended that "police forces identify at least one liaison person for coordination of policy/information flow between CSC, NPB and police" and that "the police must immediately contact the duty parole officer when they suspect a parolee in conflict with the law or in breach of his parole conditions and all police reports concerning a parolee be copied and sent to CSC and NPB."

The ACA and CCJA standards both speak to this important aspect of supervision. CCJA requires supervisors to promptly notify police on "the identity of all parolees, including new and transferred; the conditions of parole orders and the modifications of parole orders, including the addition and/or deletion of conditions and the termination of orders." The ACA requires parole offices to cooperate with police "to apprehend offenders known to be or suspected of being involved in criminal activities." Standard 2-3151 states that the parole agency policy prohibits the use of probationers/parolees as police informers, and that any exceptions should be backed by written policy and procedure specifying the criteria for exceptions.

Should standards specify the requirements which make up proper police liaison, such as notification of initial parole status and changes in conditions, or advising police of the outcome of suspensions, etc.? Should police be informed of all breaches of release conditions?

#### Issue 6F. The Use of Volunteers in Supervision

Historically, volunteers have contributed in many different ways to post-release assistance of offenders, and were in fact the pioneers in establishing private "after-care" agencies throughout Canada. Today, private agencies employ paid staff, but volunteers are considered important and worthwhile contributors to supervision effectiveness in many quarters of both the public and private sector.

Volunteers can provide various services: assisting in job search, accompanying parolees to AA meetings, and acting as friend and counsellor to the offender under the guidance of a formal supervisor. Volunteers are particularly helpful in remote areas where supervisors are spread thin.

The Project Team feels that volunteers can make an invaluable contribution, although they require an initial and continuing investment of considerable staff time. Some issues therefore arise as to the selection, training, duties and responsibilities of volunteers.

Should standards require that volunteers go through a careful selection and training process before working with an offender? What limits, if any, should be placed on the roles which a volunteer should and should not play (e.g., should not be used as a substitute for the supervisor's surveillance and counselling role)?

#### Issue 6G. Selection and Training of Supervisors

Possibly the most important of all issues in supervision is the quality of the men and women who work in the area. As Frank Miller once remarked, "The most important thing in corrections is people; the second most important is people; and the third most important, people."

Parole supervisors bring to their work a wide spectrum of previous education and work experience. Not all of them begin work with a solid theoretical grounding in casework, or experience in working with community resources and services, or with offenders in the community. The training which they receive may have little or no specific bearing on community casework, or this may amount to little more than a week or two of on-the-job training, working side by side with an experienced officer.

At the March workshop in Hull, Professor Don Andrews noted that some years ago, the most important qualities of a correctional counsellor were considered to be openness, warmth and understanding. Research, however, has shown that other attributes are just as important - to be able to use authority when required, to be able to become engaged in intensive problem solving, and to be forthright in making known his or her anti-criminal values to the offender.

CSC requires that persons hired as parole officers have "a university degree in one of the social or behavioural sciences, or completion of secondary school or equivalent combined with experience in counselling of correctional clients or related social work." The Rated Requirements include knowledge "of relevant CSC and NPB manuals, acts and regulations; of interviewing, counselling and intervention techniques; of resources available and agencies associated with corrections; of components of the criminal justice system." Rated abilities include "to identify and analyse needs and develop individualized plans for inmates/parolees utilizing the case management strategy system; to coordinate, monitor and assess individual program plans, to appraise and report on performance of inmates/parolees and make appropriate recommendations to decision-makers; to communicate effectively orally and/or in writing." Personal suitability involves, among other things, "effective interpersonal relationships; aptitude to gain trust, respect and confidence of offenders and staff".

In related fields, induction standards vary greatly, but are often stringent. The Ontario Ministry of Correctional Services, for example, requires that new juvenile workers have a B.A. in social work; the current volume of applicants acutally allows the Ministry to de facto seek an M.A. from candidates.

The CCJA standard does not spell out minimum selection/induction standards, but requires that the agency have "policy and procedures which specify minimum training and qualifications for every position". The general training areas identified as required are correctional theories and philosophy; the legal framework of corrections; correctional programs and resources; policies and procedures applicable to the position; authority, accountability and responsibilities associated with the employee's position; skills required to work with clients, including special groups; communications skills; and security measures. The CCJA standards also specify a minimum of one week's refresher training annually.

The Project Team feels strongly that all supervisors, whatever their agency, should receive intensive, in-depth training for supervision work. While this training need not be done by the same trainers or training institute, it should always include the same elements of basic casework practice: behavioural theory, interviewing, case planning, problem identification and solving, establishing and keeping to objectives set in the case plan, crisis intervention, the exercise of authority, and so on. This training package could only be waived in the case of an individual being hired from one community corrections position to another.

The real question, however, is the extent to which supervision standards should make certain requirements in respect of induction standards and training.

What should supervision standards say about the selection and training of staff? Should they refer to general educational requirements and related experience, or be more specific about the required induction standards? Should reference to training include specification of its duration and subject matter? If only on-the-job training is provided, should standards address that as insufficient? Should standards provide for a probationary period sufficient to test the individual's suitability on the job? Should annual refresher training be mandated in standards?

#### Issue 6H. The Parole Officer's Brokerage Role

Parole supervisors cannot, as one report put it, "do it all". They require access to existing community resources which can assist the offender. The availability of community resources varies, of course, from community to community across Canada.

In some geographical areas, alternate resources to which a parolee may be referred are simply unavailable, and the supervision reverts to the traditional counselling/ caseworker approach. In many areas, services are theoretically available, but offenders all too frequently find themselves at the last of a long list of priorities facing busy social service workers in the community.

The supervisor's "brokerage" role, intended to assist the offender in forming those essential community service contacts and making optimum use of them, has received support from such quarters as the Solicitor General's Study of Conditional Release (1981). That report recommended that more funds be available to District Directors for such things as the purchase of psychiatric help for offenders, work tools needed on a particular job, and marriage counselling.

The Project Team attaches great importance to the supervisor's brokerage role; he/she must maintain an inventory of the kinds of resources present in the community, and be skilled in getting help from them for the offender.

The ACA and CCJA standards alike have set standards on community resources which specify cooperative working relationships, the maintenance of current inventories, periodic evaluation, and, just as important, the role of the parole officer in supporting the development of community resources.

How should standards deal with the brokerage role? Should they, for example, require the supervisor to seek out and make effective use of community resources? to facilitate the development of resources which are not immediately available? to identify resources which should be evaluated as to their effectiveness?

#### Issue 6I. Case Conferencing and Quarterly Reports.

Three of the four small discussion groups at the Hull seminar in March 1987 reported to the plenary session on the need for consultation and case conferences on a regular basis between the supervisor and his/her supervisor. We referred briefly to this issue earlier, under the standards for quality in supervision.

CCJA standards require a monthly "staff meeting" with the immediate supervisor; ACA requires reporting "to a designated supervisor who is trained in the supervisory function". The Discussion of this standard suggests that regular case conferences "can provide training and improve professional development ... help to ensure maximum effectiveness and efficiency in job performance." It goes on to state that the manager's "span of control should not exceed six".

Within CSC at present, case conferences are usually initiated by the parole officer in response to the apparent deterioration of an offender's behaviour which could lead to a disciplinary interview or suspension. With the other duties imposed on Area Managers, time for case conferencing is limited. For this reason, some of the larger CSC parole offices have section supervisors to perform this role. Section supervisors and other managers often must rely on their reading of Quarterly Reports in order to keep abreast of case developments.

The Project Team is of the view that proactive case conferencing is important to effective supervision, and that often, the notes from a case conference (together with the supervisor's logbook) will be a sufficient record of the supervision and the progress of the case to substitute for Quarterly Reports. Any unnecessary "paperburden" on supervisors should be reduced in order to free up their time for casework. Although case conferencing can be time-consuming, it is hoped that much of the required time can be found from the hours which supervisors would normally spend in writing Quarterly Reports, and which managers would spend in reading them.

The Project Team believes that the notes made from case conferences would, in addition, be a more dynamic and objectives-oriented document, occurring as it would immediately after a discussion about past and future progress in the case. These notes would ideally be a type of "contract" between supervisor and manager about future activities in the case. This is not to say that special reports would not continue to be needed at specific junctures, as when a case is transferred from one office to another, or when NPB must be notified of a perceived change in risk. (See page 24 for an example of a standard on case conferencing.)

One model for case conferencing, among other things, is team supervision. This model is still in place in several offices of the Ontario Ministry of Correctional Services. Individual probation cases are assessed by a team of officers "who have the discretion to decide what frequency or type of contact is necessary with the client. The emphasis is, in fact, not on regular reporting or casework intervention with probationers, but on obtaining services needed through brokerage by members of the supervision team, each of whom specializes in obtaining a certain type of service for clients." (Release Study, 1981)

Should standards require proactive case conferencing, and if so, in what detail (content, frequency)? Could the notes from case conferences replace Quarterly Reports except for specified cases? Should standards specify the occasions on which special reports to CSC and NPB must be made (transfer of supervision, apparent change in risk)?

#### Issue 6J. Criteria for Suspension

Although this area is being reviewed by the NPB at the moment, the Project Team felt it worthwhile to include it in our paper, since a commonly expressed desire among supervisors is for clarity on suspension policy.

The Parole Act refers only to the three general criteria for suspension: where a breach has occurred, in order to prevent a breach, and to protect society. The Commissioners Directive on Parole Supervision (CD 780) states that "normally suspension of parole shall be pursued only after other options have been considered such as:

- a. provision of additional resources
- b. more intensive supervision
- c. disciplinary interview
- d. in position of additional conditions

At present, private sector agents are not permitted to exercise the suspension power, and some private aftercare workers, as well as others, feel that they never should be. Provincial supervisors working with federal offenders have the delegated authority to suspend them directly.

The CCJA standards require only that there be policy and procedures governing suspension. The ACA limits the use of "local detention" to cases of "alleged violations".

Should standards go more deeply into suspension policy and procedures? Perhaps by specifying an overall decision rule (such as whether the offender's risk can no longer be managed in the community) as well as the persons to whom the authority to suspend can and cannot be delegated?

#### PART E. CONCLUSION

A number of specific questions have been posed in this discussion paper which are intended to seek the reader's views of the key issues involved in the drafting of standards. The Project Team's current preference on many of these issues is stated in order to let the reader know the direction in which our thinking is leading us. We emphasize that these current preferences are not fixed, and that the diverse opinions which we expect to emerge from the consultation process will affect our deliberations.

We stated in Part C that we had a preference in terms of the overall approach to standards - "Model C". Flowing from this overall view are certain implications for our response to some of the specific issues reviewed in Part D. For example, the middle ground which Model C represents between minimum standards and standards which state objectives and principles only, seems to imply the choice of Option 3C on question 3, Option 4C on question 4, Option 5C on question 5, and so on.

Readers with different view of the overall model for standards would probably choose different options on the specific issues. For example, a reader choosing Model A would likely tend to choose Option 2A on question 2, Option 3B or a variant on it on question 3, Option 4A on question 4, Option 5A on question 5, and so on.

The Project Team wishes to thank all persons who will participate in this exercise for the time and effort which they will put into this important exercise. We look forward to seeing your written feedback, and to talking with you in person over the coming months.

## **MISSION**

**The Correctional Service of Canada, as part of the criminal justice system, contributes to the protection of society by exercising safe, secure and humane control of offenders while helping them become law-abiding citizens.**

### **GUIDING PRINCIPLES**

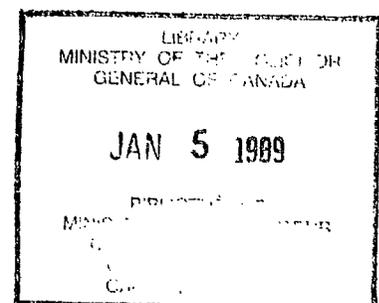
**The achievement of our Mission is predicated on:**

- respect for order and the rule of law;**
- respect for the dignity and worth of all individuals;**
- commitment to overall public safety by maintaining adequate levels of institutional order and creating opportunities for offenders to return to their communities as law-abiding citizens;**
- commitment to the safety of those who work with offenders through sound measures of security, combined with effective interaction between staff and offender;**
- team work and communication between and within organizational units to ensure each unit has the best possible opportunity to fulfill its mandate and thus contribute to the Mission of the Service;**
- accountability of offenders for their actions in society and while incarcerated;**
- delegation of decision making as close to the offender as reasonably possible;**
- accountability to the public by making the best possible use of available resources and by being open and responsive; and**
- pride in our Service and ourselves.**

The Mission Statement:

The National Parole Board,  
as part of the  
Criminal Justice System,  
makes independent, quality  
conditional release decisions  
and clemency recommendations.

The Board,  
by facilitating the timely  
reintegration of offenders  
as law-abiding citizens,  
contributes to the protection  
of society.



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