

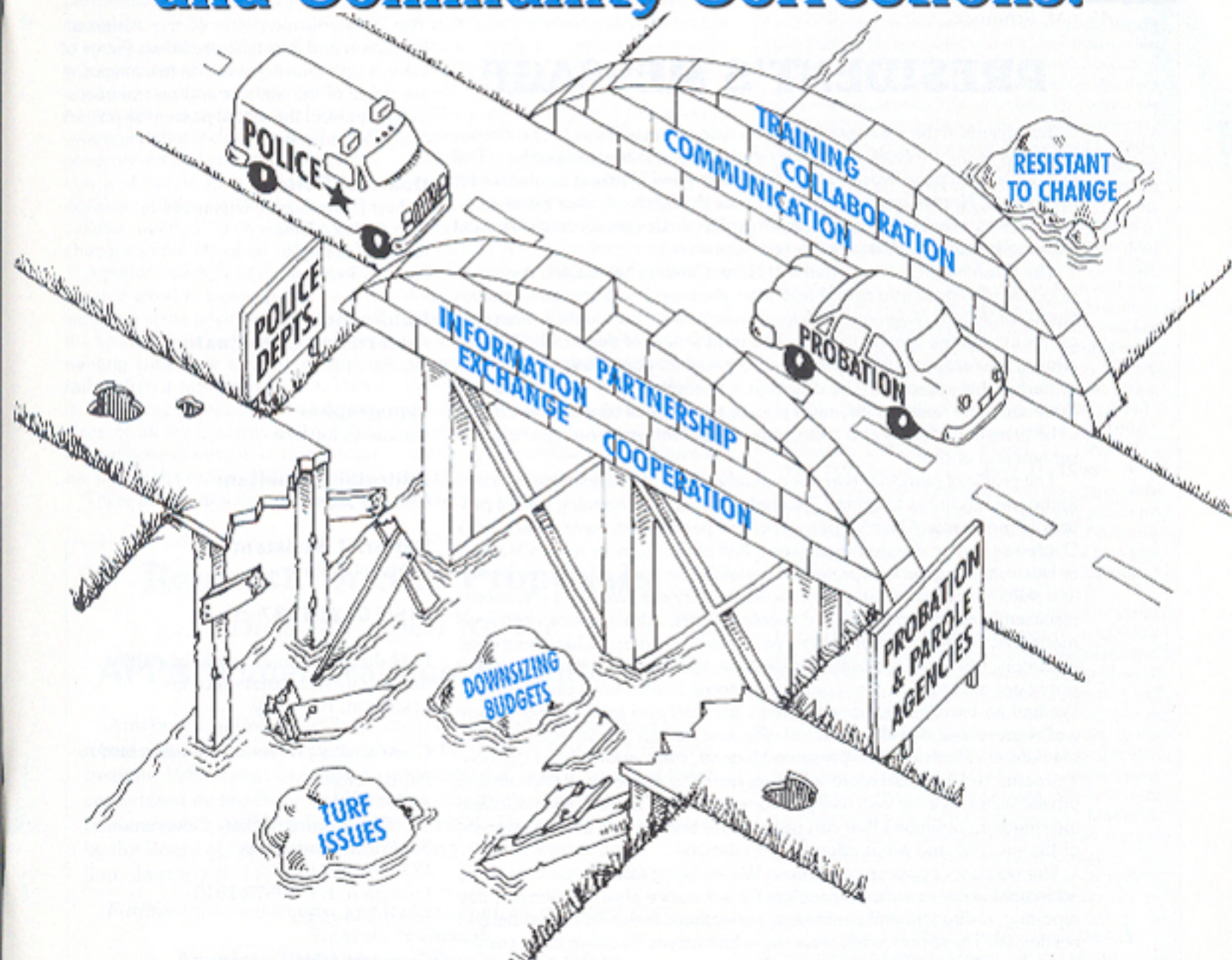


American Probation and Parole Association

Fall 1994

PERSPECTIVES

Partnerships Between Police and Community Corrections:



Building Bridges To Success



Alan M. Schuman

PRESIDENT'S MESSAGE

Two events in the past several months caused me to focus on the changing times of our profession and the need for us to take strong action. The first was a front page Washington Post article titled "Making Sentences Fit the Prisons: North Carolina Tries to Balance Punishment, State Resources." Second was a review of the participant profile of our very successful Annual Training Institute in Philadelphia last September.

The Washington Post reported that North Carolina has realized they must prioritize who goes into prison and who goes into less costly community-based corrections programs. A "felony punishment chart" is the centerpiece of this innovative sentencing law. The uniqueness of the North Carolina effort is the resources that have been allocated for community corrections as part of this approach. The direction is becoming very clear. More and more states are realizing they must prioritize the type of offender who needs to be placed in prisons and focus more on community corrections as the sentence of choice.

The profile of participants at our annual institute in Philadelphia indicates to me our readiness to accept the challenges of the changing role of probation and parole. Over 92 percent of our participants have a Bachelor's Degree or higher. Approximately one-half of this number have a Master's or Doctorate Degree. Our profession certainly has the academic credentials and skills to address any types of increased services. We had professional representation of probation and parole officers, administrators, top level managers, parole board members, consultants, trainers, judges, attorneys, educators, researchers, private corporate sector, substance abuse treatment providers, and many other community corrections related professionals. We had an excellent balance between line staff and management, were well represented racially and ethnically, and had an almost equal gender breakdown. Participants represented federal, state, county, and city governments and included representatives from the academic, nonprofit and private sector. We are very well positioned to offer a myriad of services and intermediate sanctions that can redirect the behavior of a large segment of the juvenile and adult offender population.

Our window of opportunity is **now**. We are being asked to provide many additional services including centers for substance abuse treatment, day reporting, restitution, and community corrections, both non-residential and residential. These previously were not administered by community corrections. In some cases we operate as direct service providers, or we supervise contracts with private treatment providers.

The reason for these changes is not only economics. It is our performance record and high level of professionalism that is being recognized by our communities as we interact with other disciplines from our central

continued on page 3

The quarterly magazine of the American Probation and Parole Association. Points of view or opinions expressed in this magazine are those of the authors and do not necessarily represent the official position or policies of APPA or its staff.

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position in the juvenile and criminal justice system. Our role has evolved as part of a planned intermediate sanctions system that emphasizes placing offenders at different levels of the continuum based on risk needs assessments, then adhering to standards of performance for successful program completion. It has evolved as a result of local jurisdictions taking responsibility for treating all but the most serious offenders in our local communities. It has evolved as part of a total systems awareness that includes every level of government and confirms that probation and parole play a major role in developing linkages with the many disciplines needed to make significant changes in the life of an offender.

A perfect example of this is the coordinated effort between public health, substance abuse treatment providers and the juvenile/criminal justice systems in treating substance abusing offenders rather than incarcerating them. There is a clear recognition that linking services of all the systems that provide comprehensive services is the appropriate strategy for making lasting changes.

These paradigm shifts are completely

compatible with our visionary plan and the changing times. We must give up the narrow scope of the services probation and parole has previously provided and prepare ourselves for the increased opportunities and responsibilities facing us. The rehabilitation, treatment and counseling skills we have developed over the years equips us with the proper tools to apply to various community based residential centers we are being asked to administer.

We must identify and utilize every potential talent in our communities. We must forge partnerships with disciplines we have not worked with in the past. We must develop common goals, mission statements, and interagency agreements that institutionalize the gains that are being made. We must prioritize the needs of our communities and most effectively utilize the limited resources available. We must be prepared to demonstrate that community corrections can and will make a difference. A difference that can be evaluated by outcome measures that verify our accomplishments and translate to legislators the soundness of investing in community corrections. □

Request for Site Proposals

Bids are open for the

APPA Winter Training Institute 1998

Any board member, affiliate group or state agency wishing to request consideration of a particular city for the APPA Winter Training Institute 1998 must complete an application to host it. In order to be considered by the Board of Directors, completed applications must be received at APPA by December 9, 1994. The site will be selected by the Board of Directors at their meeting in Charleston, South Carolina, January 8, 1995.

Further information and applications may be obtained from:

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Information For Perspectives Contributors

The American Probation and Parole Association's publication, *Perspectives*, disseminates information to the Association's members on relevant policy and program issues and provides updates on activities of the Association. The membership represents adult and juvenile probation, parole and community agencies throughout the United States and Canada. Articles submitted for publication are screened by an editorial committee and, on occasion, selected reviewers, to determine acceptability based on relevance to the field of criminal justice, clarity of presentation, or research methodology. *Perspectives* does not reflect unsupported personal opinions. Submissions are encouraged following these procedures:

Articles should be submitted in ASCII format on an IBM-compatible computer disk, along with five hard copies, to the chairman of the editorial committee (refer to the "Letter from the Editors" for address) in accordance with the following deadlines:

Winter 1995 Issue	September 21, 1994
Spring 1995 Issue	December 12, 1994
Summer 1995 Issue	March 21, 1995
Fall 1995 Issue	June 21, 1995

Unless previously discussed with the editors, submissions should not exceed 10 typed pages, numbered consecutively and double-spaced. All charts, graphs, tables and photographs must be of reproduction quality. Optional titles may be submitted and selected after review with the editors.

All submissions must be in English. Footnotes should be used only for clarification or substantive comments, and should appear at the end of the text. References to source documents should appear in the body of the text with the author's surname and the year of publication in parentheses, e.g., (Jackson, 1985). Multiple references to sources by the same author should be labeled alphabetically with each year, e.g., (Jackson, 1985a). If the same source is cited more than once, indicate the various pages of the source with each reference, e.g., (Jackson, 1985: 162-165). Alphabetize each reference at the end of the text using the following format:

Anderson, Paul J. "Salary Survey of Juvenile Probation Officers." *Criminal Justice Center*, University of Michigan (1982).

Jackson, D.J. "Electronic Monitoring Devices." *Probation Quarterly* (Spring, 1985): 86-101.

While the editors of *Perspectives* reserve the right to suggest modifications to any contribution, all authors will be responsible for and given credit for final versions of articles selected for publication. Submissions will not be returned to contributors. CI

Letter from the Editors

by Robert E. DeComo, PhD, Chairman, Editorial Committee

Welcome to the Fall issue of *Perspectives*. With this issue I am pleased to announce the expansion of our regular features to include a column from the National Institute of Justice (NIJ). This column will be used to update our readership on the current and future activities of that federal agency as they relate to community corrections.

The role of NIJ in community corrections is not nearly as well known as that of the National Institute of Corrections (NIC). Also a component of the U.S. Department of Justice, NIJ is charged with the unique and very important responsibility of conducting research aimed at improving criminal justice practices (e.g., programs and technologies). This research and development (R&D) process is standard operational procedure in most areas of human industry but has been minimized, if not ignored, in our own field. By providing funding for the design of criminal justice innovations and their evaluation, it is NIJ that is providing leadership on the national level to improve criminal justice practices, using a systematic and scientific approach.

Our first NIJ column describes the recently released NIJ Program Plan for FY 1995. The Plan details NIJ's goals and objectives for the year and identifies its R&D priorities and funding opportunities. In so doing, the column discusses NIJ's increasing commitment to conducting R&D in community corrections and recounts the process used to solicit input from the field to set its funding priorities for community corrections this year. Future columns will be used to describe upcoming initiatives as well as to disseminate the findings of R&D in community corrections.

To fully introduce the concept of R&D and NIJ's role in the process for criminal justice, this issue also includes a special feature article on the subject prepared for *Perspectives* by George Schollenberger, who recently retired from that

agency. His article describes the theory behind R&D; compares federal funding levels for R&D in criminal justice with other fields; and provides a historical analysis of the impact of R&D on crime and criminal justice. We are grateful to Mr. Schollenberger for his thoughtful and detailed presentation in helping introduce our readership to important federal efforts to improve our field.

We are also grateful for the long-standing and continuing commitment of NIC to APPA and *Perspectives* by providing its update for each issue. The NIC Update for this issue has been contributed by Dave Dillingham, Corrections Program Manager in the Community Corrections Division. Mr. Dillingham's update discusses the evolution of the concept of risk management in corrections. He also announces NIC's plans to conduct national and regional seminars designed to help community corrections administrators and practitioners better understand new and promising approaches to risk management developing around the country.

Our last regular feature is FORUM, a special section devoted to airing the views of our membership. This installment reflects the views of several APPA members regarding the position paper on weapons published in the Spring issue of *Perspectives*.

Turning to our special features, our first article has been contributed by Vincent D. Basile, Supervisor of Probation Services for the Massachusetts Trial Court in Boston. Mr. Basile's article represents the next installment in our series on the application of the principles of total quality management techniques to probation and parole practices. His article is an instructive piece which illustrates the proper application of TQM principles and tools.

Our next special feature has been contributed by Dr. Judith Rumgay of the London School of Economics. Professor

Rumgay's article is based on her study of American probation while visiting the Morris County, New Jersey Probation Services Department. She offers a thought-provoking comparison of the underpinnings of American and British probation practices with drug users. It is important to note that the British approach based on "harm reduction" recently gained notoriety on the federal level in this country when it was used as a guiding principle for the National Drug Control Strategy recently released by the Office of Drug Control Policy.

Our last special feature has been contributed by Sergeant Terry Morgan with the Patrol Division of the Redmond Police Department in Washington State, and Community Corrections Officer Stephen Marrs of the Washington State Department of Corrections. Originally published in the magazine, *The Police Chief*, this article describes the efforts of their agencies to conduct a partnership program of community policing to enhance the supervision of parolees. The preliminary results of this partnership are encouraging for agencies seeking new ways to respond to increasing demands for effective supervision during a time of declining resources.

In closing, the members of the Editorial Committee encourage you to send us your contributions and comments. You may contact the Editorial Committee by calling or writing to:

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NIJ NEWS

On Being Responsive

by Ed Zedlewski, Acting Director, Adjudication and Corrections Division, National Institute of Justice

Opportunities for research in community corrections have just been expanded by the National Institute of Justice, and this new development should benefit APPA members. NIJ recently released its "Program Plan" for 1994-95, which the Institute uses to set its research agenda for the various fields that make up the criminal justice system, including probation and parole. The expansion wasn't accidental. It resulted from our new policy of outreach to practitioner communities.

Primarily a research funding agency of the Department of Justice, NIJ traditionally has used input from the research community as the primary basis of its agenda. This input comes from interaction with researchers in a variety of forums, the results of which are then translated into future research plans. Conferences of criminal justice researchers, where NIJ staff present the findings of completed studies or studies in progress, are one type of forum. These conferences and similar gatherings are convenient places for us to "talk shop" with the criminal justice community and to meet with researchers whose work we sponsor to discuss progress and problems. Such meetings help us to become familiar with basic study results well before they are published. We then use this information to plan our agenda for research topics for the coming year.

Prior to the aforementioned expansion, attempts to link up with various practitioner communities had been earnest but sporadic. They took the form of addresses by the NIJ agency head at conferences of professional associations. NIJ directors have also asked directors of professional associations to serve as spokespersons for their particular field

on specific topics. These and similar events provided some input from the practitioner community, but they didn't result in the continuity of dialogue we sought.

Last year, NIJ tried a more grass-roots approach. We formed a set of "21st Century Groups" to provide input into our long-range planning. Membership in the groups consists exclusively of practitioners. In the case of community corrections, the group consists of state and county probation executives, state parole chiefs, and members of parole boards. About 15 members of this group met with NIJ staff (and staff invited from other federal agencies) for a full day last November (and again this May) to talk about issues that affect the future of community corrections. NIJ staff drew on the input from these discussions in developing its research plan (released in April this year). In fact, if someone were to compare the minutes of the November meeting to the topics highlighted in the NIJ research plan, it would be evident that APPA members had a powerful influence on this year's agenda. The community corrections agenda not only reflected APPA concerns but also expanded significantly the emphasis on community corrections in the overall NIJ plan.

So what is called for in the NIJ plan? Basically, we call for research that ultimately makes the community corrections system more responsive. More responsive to what? There are three goals: more responsive punishment, more responsiveness to offender needs, and greater concern for public safety. While the plan includes some fairly specific ideas about the type of research we feel is needed, it is by no means restricted

to ideas generated by Washington bureaucrats. Rather, the ideas raised in the plan are meant to serve as examples of what we have in mind - not mandates.

Responsive Punishment

NIJ has invested heavily in intermediate sanctions over the past decade and will continue to fund research in this area. We think it is time, however, to collect these various types of punishment into a more carefully administered bundle. What we see now are sentences imposed in bewildering combinations of fines, supervision, restitution, and restraints on freedom. What we would like to see is research focused on assembling these sanctions in ways that expressly consider what the sentence is intended to accomplish in terms of the type of crime, the offender, the victim, and other societal priorities.

Meeting Offender Needs

There has been a growing awareness in policy circles that offenders can have more problems than drug abuse alone - that simply sending people to treatment means low probability of improvement. NIJ would like to encourage research that explores more holistic assessments of offender needs, which include health, learning, mental health and dietary issues. We would also like to see some research into how to deliver services to meet these needs, especially studies of successful approaches to partnerships with agencies that deliver other social services.

Public Safety

Lest we forget, the bottom line measure of community corrections is community safety. We need better assessments of offender risk in the community,

and better ideas on how to deal with differential risks in probation and parole populations. We are also concerned with officer safety, both in confinement settings and on the streets.

A host of other opportunities throughout the NIJ plan also signal the expanded interest in community corrections. We would like to see research into new technological and managerial approaches to field supervision. In fact, this is the first time we've expressly solicited research into technologies to improve correctional performance. We are encouraging both hard technologies (such as pocket computers and satellite monitoring) and soft technologies (such as new ideas in information management,

field organization, or employee or client incentives).

And finally, NIJ is offering a new array of small grant opportunities designed to get research done at the ground zero level (that's you, APPA members). NIJ funds visiting fellows for a year or more in Washington. Among the current crop of fellows are police officers, district attorneys, and a corrections official - but no probation and parole, folks. We are offering state and local participatory research and evaluation grants, which provide combinations of cash and technical assistance to agencies that have some internal research capacity and want to develop more. We also offer partnership grants between agencies

and universities.

We've also made it less burdensome to apply for these research opportunities. We limited small-grant proposals to 15 double-spaced pages, and we accept submissions three times a year.

The Institute has been encouraged by the grass roots process that it launched this year. We met with dedicated practitioners who not only cared deeply about their profession, but who were articulate and even visionary in expressing the needs of the field. We think it's important for those of us at the federal level to show that we listened. This year's plan is our first try at a systematic response. Let's work together to build from this point for the next research plan. □

APPA Announces a New Initiative *Handbook on Teen Courts*

The American Probation and Parole Association is pleased to announce that it has received a grant from the National Highway Traffic Safety Administration to develop a Handbook on Teen Courts. The primary objective of the project is to assist juvenile justice agencies in establishing Teen Courts as an alternative for responding to the problems of underage drinking, impaired driving, drug use and other delinquent behaviors of youth.

In particular, underage drinking and impaired driving are pervasive problems among the youth population. Drinking and driving is the leading cause of death for teenagers, resulting in significant personal and social costs. Many responses to this problem have been implemented with positive results. However, the rate of deaths and injuries that can be attributed to underage drinking remains unacceptably high.

Peer influence is a significant factor during adolescent development and plays a role in both antisocial and prosocial behaviors. As peer influence contributes to the problems, interventions that alter peer norms provide a sound approach to their amelioration. Teen courts represent an innovative approach that employs the dramatic role of peer influence in the lives of

adolescents as a means for addressing underage drinking, impaired driving and other delinquent behavior. In addition to capitalizing on peer pressure, teen courts are valuable in that they provide a diversion from the juvenile justice system, appear to reduce recidivism rates and offer an invaluable opportunity for volunteers.

Some teen courts have been developed, but there does not appear to be a sufficient body of literature concerning their missions, legal authority and procedural practices to ensure that communities can readily develop programs that meet their needs. The *Handbook on Teen Courts* will address these critical issues and facilitate the development process. In addition, APPA will produce a *Trainer's Guide*, provide a workshop at an APPA Institute and conduct a pilot training seminar.

For more information contact:

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American Probation and Parole Association
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P.O. Box 11910
Lexington, KY 40578-1910
(606) 244-8215

Request for Information

We need your help to begin this endeavor. APPA is requesting copies of program descriptions and operations manuals from existing Teen Courts. If you are aware of Teen Courts operating within your community, please send information and available materials to the above address. Please include the name, address and phone number of the program, as well as the name of a contact person. Thank you for your consideration and support.

Justice R&D and Federal Assistance

by George D. Shollenberger, Retired, National Institute of Justice

Abstract

Two studies are presented. The first examines the financial aspects of "federal research and development" expenditures and how well the justice system shares in these expenditures. This study assumes that justice R&D funding for the nation from all sources is largely that provided by the federal government to the National Institute of Justice, U.S. Department of Justice. The second study examines the effectiveness of "federal assistance" expenditures for state and local governments for justice system purposes.

I. RESEARCH AND DEVELOPMENT

Research and Development At National Levels

Research and development (R&D) is a concept common to modern societies. The R&D process became a formal societal mechanism only recently. The formation of the revolutionary government of France in the 1790s was the first organized attempt to combine scientific skills aimed at the common good. While Europe and the U.S. depended mostly on the ideas of individuals, Germany was an early exploiter of scientific advances commercially. Kaiser Wilhelm Gesellschaft provided facilities for scientific cooperation between companies. Today, Germany still maintains a close relationship between government and the private sector on R&D issues. In Japan, the Ministry of International Trade and Industry plays a significant role in Japan's advanced technology program.

Through its investment in R&D, a sector of society, or society as a whole, expresses the rate at which it wants to promote change for its customers or citizens. On a different plane, a nation's overall investment in R&D is an expression of its ability to advance and solve social problems such as poverty, crime, and resource depletions. In one sense, a nation's commitment to its R&D sector is a moral commitment since an ever

expanding R&D sector is needed to continually overcome the problem of limited resources in order to maintain living standards. Note that limiting populations is not an alternative to solving resource depletion problems. Such a strategy merely defers the problems.

In the 20th century, R&D expenditures in the developing nations rose to over 2 percent of their Gross National Product (GNP). In the U.S., such expenditures peaked at 2.9 percent during the space program of the 1960s and then fell to 2.1 percent in the 1970s a decade characterized by high inflation and negligible productivity increases. In the 1980s U.S. R&D expenditures rose to 2.7 percent but are again receding as the 1990s unfold. Currently, Japan and West Germany are competing for the distinction of becoming the first nation in history to top the 3 percent mark for R&D expenditures. If they do, a new social structure may emerge.

Research and Development Expenditures in the U.S. Government

Figure 1 shows the pattern of federal R&D expenditures for 1989. It displays the fourteen major recipients of federal R&D funds and the percentage that each recipient received of the 1989 federal R&D budget of 61,832 billion dollars. This pattern has not changed significantly over the past 20 years. Although polls continue to indicate that U.S. citizens rank crime and justice as a high priority concern, the federal government's expenditures for "justice" R&D does not reflect a level of prioritization compatible with the views of people. Justice R&D is actually at the bottom of the list of federal R&D priorities. As this figure shows, only 7 cents of every \$100 of federal R&D funding is spent on justice R&D. On the other hand, \$65.60 of every \$100 is spent on R&D for national defense. This abnormally

low investment in justice R&D is one reason why the war against crime and drugs is not being won. Without innovative ideas generated by R&D activities, human problems are not easily addressed.

Government involvement in the R&D process has been hotly debated for years. Based on the rather questionable patterns of government support of this process, one could conclude that the current system of government-funded R&D is highly politicized and could be better managed in the private sector. On the other hand, private R&D initiatives are sluggish in dealing with public sector operations such as the justice system. The best solution may be to institutionalize good R&D management practices in the executive and legislative branches of government. For example, the U.S. Congress wisely mandated R&D activities in its authorizations for rebuilding the nation's highways in the middle of this century.

Change in the Justice System

The ancient Greek philosopher, Heraclitus, became famous when he said, "One cannot step in the same river twice." This statement highlights the fact that we live in a world that is always changing. It is now widely accepted that there are two kinds of change. Some changes are part of a natural process; others, such as the R&D process, are manufactured and occur as a result of people's activities. Accordingly, the R&D process can be considered uniquely human. Abraham Lincoln illustrated this in his April 6, 1858 address on the uniqueness of man's progress. He told his audience that humans are the only animals that improve their condition. Beavers, he claimed, build their homes no differently or better than they did 5,000 years ago.

Certainly increasing demands for justice, as created by increasing crime rates,

will lead to change in the justice system because more people must be hired to handle the increased workload. Further, modern societies continue to place new demands on their justice systems with regards to fairness, accuracy, trial speed, efficiency, and so forth. But if increased demands are imposed on any system, is "more of the same" the only possible strategy? No, a system can always learn to respond to changing demands more intelligently. This is possible if the system has the ability to create new ideas.

Prior to the rise of crime in the U.S. in the 1960s the major response to crime was provided by the nation's public justice systems. These systems were basically comprised of police, courts, and prison agencies. Police identified and apprehended suspects; courts adjudicated criminal charges; and prisons carried out the sentences ordered by courts. Other responses were provided by private citizens themselves and private security companies such as Wells Fargo and Pinkerton, private firms that came into existence in the 1850s. Today's responses to crime still follow this public/private sector dichotomy but are much more complex and diverse. For example, police have become "proactive" and try to prevent crime rather than merely react to calls-for-service. Also, prisons are trying to "correct" criminals and divert them from criminal careers. Private responses have also grown in number and kind. Private citizens use many different methods to prevent and control crime, such as. . . . Also, citizens and community groups now work closely in partnerships with police. Private security has also experienced dramatic changes. Presently, it outspends public police by 73 percent and employs 2% times as many persons as public law enforcement agencies (NIJ, 1991).

Figures 2 and 3 show the change (from 1971 through 1989) in allocations for the major activities for the federal and state/local justice systems respectively. At the federal level, there was a shift in emphasis from police to legal services, the judicial sphere and corrections. There was also a large reduction in "federal assistance" to state/local jus-

tice. This federal assistance, which peaked in the mid-1970s with the Law Enforcement Assistance Administration, is part of the category labeled "Other." At the state/local level, the emphasis of public funding has shifted primarily from police to corrections.

Justice Research and Development

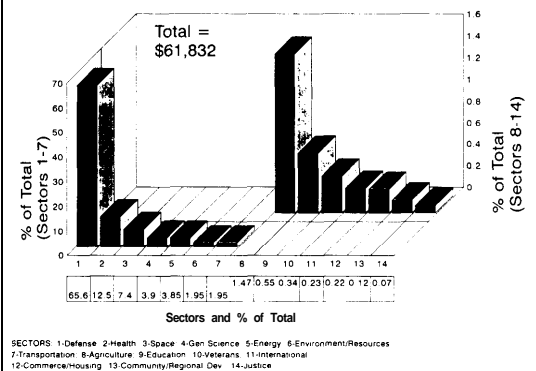
Justice R&D is a relatively new phenomenon. However, justice R&D was not a result of the efforts of justice system managers because they lack formal training in R&D management. To introduce R&D to the justice system, the U.S. Congress created a special R&D unit that would be dedicated to the nation's justice system. In 1968, the U.S. Congress created the National Institute of Justice (NIJ) and placed it within the U.S. Department of Justice. Its initial responsibility was to reduce crime and improve the justice systems operated by state and local governments.

NIJ has contributed significantly to various justice agency policies and practices: for example, crime and victim surveys have resulted in the establishment of the Bureau of Justice Statistics and confirmed that crime rates are higher than reported officially; a world-famous justice information clearinghouse has been established; courts have become more efficient and trials have become speedier and fairer; police detectives and trial attorneys have gained the use of new and improved forensic evidence; many new crime prevention methods have been developed; victims' needs and citizen fear have become recognized and are managed more effectively; community/police partnerships have been established; and "soft body armor" has saved the lives of hundreds of police. Many criminal justice myths have also been dispelled. For example, NIJ helped to make clear that the justice system cannot solve crime and drug problems alone. NIJ's studies of crime causality have shown that there is no single (root) cause of crime.

Figure 4 compares the annual trends of state/local justice system expenditures, which rise smoothly, with the an-

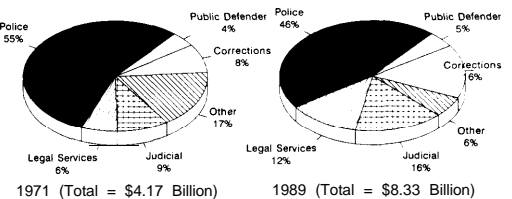
nual NIJ budgets, which rises and then falls. The relationship between state/local expenditures and NIJ budgets is

Figure 1
Distribution of Federal R&D Funds in 1989



Source: U.S. Bureau of Census, *Statistical Abstracts of the U.S.*, Washington, DC. Table 989, 1990

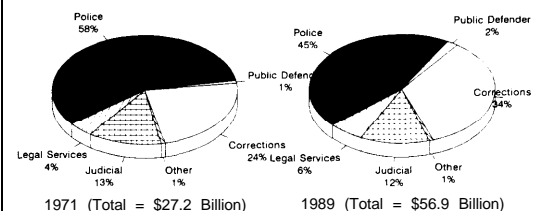
Figure 2
Federal Justice Expenditures by Justice Activity (1971 and 1989)



Dollars are in 1988 dollars.

Source: Bureau of Justice Statistics, *Justice Expenditures and Employment in the U.S.*, Washington, D.C. Table F, 1988

Figure 3
State/Local Justice Expenditures by Justice Activity (1971 and 1989)



Dollars are in 1988 dollars.

Source: Bureau of Justice Statistics, *Justice Expenditures and Employment in the U.S.*, Washington, D.C. Table F, 1988

not consistent with prevailing R&D management theory and practice. Proper R&D management suggests that the R&D level of funding be maintained as a relatively fixed percentage of the system's operating expenditure. R&D man-

agers would also adjust the R&D level of a system to respond to needs that occur when the system is being stressed by new problems or when the system needs major innovation or modernization.

Even though the nation's justice systems are currently under extreme stress and have been since the mid-1960s, NIJ's budget was never determined as a percentage of the justice system's operating expenditures. NIJ's peak budget year (in 1975) was still only about 0.3 percent of total of state/local justice expenditures. By 1989, Congress lowered NIJ's budget to a mere .04 percent of state/local justice expenditures. As seen, state/local justice expenditures continue to grow. The current ratio of justice expenditures to justice R&D funding is counter to widely accepted modern management practices.

To comprehensively explore R&D issues, it is necessary to examine justice as it works along with other systems to achieve higher goals. Figure 5 shows the national average R&D expenditure for the U.S. from 1970 to 1985. It also compares this average with federal government investments for R&D in four important systems that are important to the nation's well-being. These four systems are defense, health, education and justice. The defense and justice systems act to maintain the well-being of the nation as a whole, whereas the health and educational systems act to maintain the well-being of the nation's individual citizens. Given that polls continue to indicate that U.S. citizens rank crime, drugs, and justice as high priority problems, U.S. government clearly needs to be more responsive to these problems.

Figure 5 indicates that the R&D expenditures for justice are insufficient to improve and maintain the well-being of our society by solving the crime and drug problems. From an R&D standpoint, the allocations for justice R&D are inconsistent with the allocations for the other three major systems which impact well-being. These allocations are inconsistent with the national average R&D investment as well. One could make a similar statement about educational R&D which also appears to be insufficient compared with "health" and

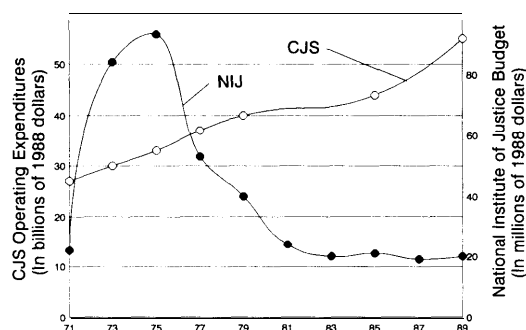
"defense" R&D. Perhaps the limited "education" R&D budget helps to explain the nation's rising illiteracy rate and the nation's increasing inability to compete with the technological progress of Japan and West Germany.

Justice Managers Need to Apply Modern Management Techniques

Managing the movement of large amounts of supplies and numbers of personnel during WWII originated a new field of knowledge known as "management science." Management science is now a major school of study in most colleges and universities. The movement towards the scientific management of organizations (i.e., managing them more intelligently) was based on the premise that an organization can always be improved and operated more efficiently and effectively. This movement gave birth to modern research and development activities. As the management sciences matured, increased competition between private organizations led to the immediate application of new management practices by business and industry. Many government agencies have also incorporated scientific management practices into their operations.

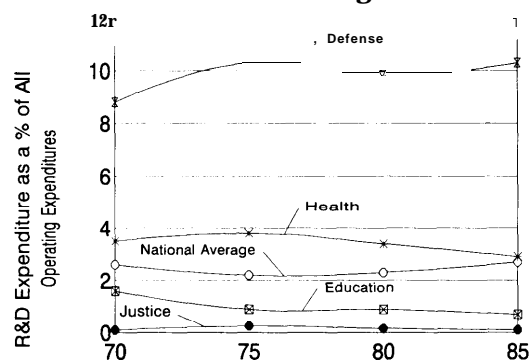
With respect to justice R&D, early applications of R&D arose with the advent of police research and planning units and court administrators. (For a discussion of the work of police research and planning, see Klockars, Carl B. and William E. Harver "The Production and Consumption of Research in Police Agencies in the United States." Washington: National Institute of Justice, 1992). For discussions of the work of court administrators, see the curricula of the Court Executive Development Program offered by the Institute for Court Management of the National Center for State Courts, Williamsburg, VA.) The investment in R&D personnel for police research and planning units apparently ranges from about 2 percent of the sworn total for departments less than 250, to about 1 percent for departments whose sworn total is greater than 250. However, due to limited funding and technical expertise, police and court

Figure 4
Trends of S/L Justice System and National Institute of Justice Expenditures (1971-89)



Source: For state/local justice expenditures, see Bureau of Justice Statistics, *Justice Expenditures and Employment in the U.S.*, (Table F, 1988). For NIJ budget, see the Office of Justice Programs Budget Office, U.S. Dept. of Justice

Figure 5
Comparing Selected R&D Expenditure Trends with the National Average



Source: For R&D expenditures for defense, education and justice see U.S. Bureau of Census, *Statistical Abstracts of the U.S.*, (Table 989, 1990); for national average see U.S. Bureau of Census, *Statistical Abstracts for the U.S.*, (Table 984, 1990); for operating system expenditures for defense, health and education, see U.S. Bureau of Census *Statistical Abstracts of the U.S.*, for the year of interest; for justice operating expenditures see Bureau of Justice Statistics, *Justice Expenditures and Employment in the U.S.*, (Table F, 1988)

improvements were limited to those that one or a few researchers could produce; those that address simple problems or "fire drills" encountered in daily operations; those that do not require sophisticated or multi-disciplined technical expertise; or those that can be conducted with very small budgets. A large portion of the ideas for change in one police agency originate in another agency. Police R&D units thus do a considerable amount of sharing. Usually, state/local researchers can only "tinker" with the justice system. Further, they usually produce results that can only be implemented in the setting in which the research was conducted.

A highly sophisticated, multi-disciplined R&D unit that can address a broad range of highly complex and technical questions, has been beyond the financial reach of most U.S. communities. By 1970 only the largest cities could afford to give serious thought to having some minimal level of R&D effort. Smaller cities and towns still cannot afford R&D efforts at all. The net result is justice inequity: citizens of small cities and towns receive a lower quality of justice compared to the justice that is available to people who live in more densely populated areas.

Recognizing that it would neither be efficient nor feasible for every community to have its own justice R&D unit, in 1968 the U.S. Congress created a sophisticated and multi-disciplined R&D unit, the National Institute of Justice. NIJ is mandated to serve all communities. Because NIJ is funded by public taxes, it does not favor any specific community. Its projects are chosen based on their applicability to all communities. Today, NIJ conducts research on a broad range of general topics such as victimization, crime prevention, law enforcement, prosecution, adjudication, prisons, and corrections. However, insufficient and irregular funding of NIJ, as shown in Figure 4, indicates that it has been restricted in its operations. A much greater percentage of the total justice system expenditures is needed to support NIJ if it is ever to produce answers to the "bigger" questions posed

by current crime, drug, and justice problems.

II. JUSTICE FEDERAL ASSISTANCE

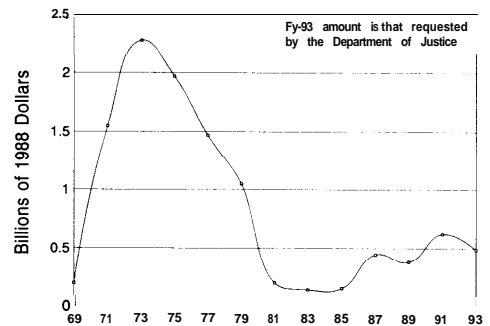
What Is Justice Federal Assistance?

Due to rising crime rates in the 1960s the President's Commission on Law Enforcement and Administration of Justice issued a report in 1967 entitled "The Challenge of Crime in a Free Society." The Commission recommended a justice federal assistance program authorized to provide state and local governments with assistance for planning, education, information systems, demonstrations, research and development, training, and financing. In response to the Commission, the U.S. Congress created a new federal agency, the Law Enforcement Assistance Administration (LEAA). It was placed in the U.S. Department of Justice under the general policy direction of the Attorney General. Subsequent amendments to the 1968 legislation changed the scope of LEAA activities to include federal justice. In 1979, the name of LEAA was changed to the Office of Justice Programs (OJP).

Figure 6 indicates that the budget authorizations from Congress for the LEAA/OJP effort peaked in 1973 and then decreased to a relatively low and constant level by 1981. This budget reduction occurred even though crime persisted and the nation's justice systems were faced with an expanding challenge in the 1980s: the problem of drug abuse. The increasing crime problem coupled with new drug-related crimes is evidenced by the continually increasing justice expenditures by state and local governments to deal with these issues. The gap between state and local expenditures and justice federal assistance has widened considerably following the 1973 peak at LEAA.

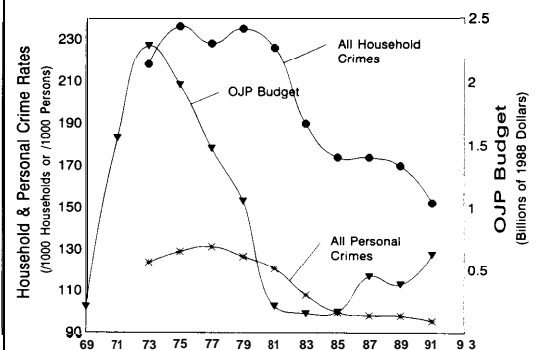
The OJP budget, which includes the NIJ budget, is used to develop programs that can be implemented nationwide by communities that wish to reduce their crime and drug problems and improve the operation of their justice sys-

Figure 6
Office of Justice Programs Budget



Source: Bureau of Justice Statistics, *Criminal Victimization in the U.S.*, (Table 3, 1990)

Figure 7
The Relationship Between the OJP Budget Trend and Crime Victimization



Source: Bureau of Justice Statistics, Office of Budget, Office of Justice Programs

tems. OJP-developed programs are also evaluated so that communities can ascertain the programs' effectiveness before large scale investments are made to implement them. Many of these programs are based on prior research results produced by NIJ. An example is the Weed and Seed programs, which have two components. The "weed" component is implemented first by focusing law enforcement resources on efforts to "weed" out criminals from a community. Once this is accomplished, "seeding" efforts are initiated to revitalize a community that had been ravaged by criminal elements. To assist the Weed and Seed effort, OJP is designing and evaluating innovative neighborhood-

oriented policing programs that develop public/private partnerships to fight crime and revitalize communities. Because the programs developed by OJP are deployed nationwide, all taxpayers provide support for this developmental effort. Accordingly, federal assistance is really a program strategy that allows communities to act collectively in ways to solve their common problems. By working together, they can afford the innovation, whereas alone they could not.

Is Justice Federal Assistance Effective?

Questions regarding the relationship between federal assistance to state/local governments and the reduction of crime and improvement of justice administration have been posed both before and after the U.S. Congress established the LEAA. This relationship can be restated using the usual evaluation question, "Does federal assistance work?" To date, various opinions have been offered on

this very difficult question. However, as the 20th century comes to a close, most evaluators are rapidly concluding that objective evaluations are not possible. Accordingly, new methods of evaluations are being sought (Guba and Lincoln, 1981).

One new evaluation method, spoken of as the "Fourth Generation Evaluation Method," is found in the next display. It employs both quantitative and qualitative evaluation procedures. With this

Fourth Generation Evaluation Principles

1. Evaluation is a process whereby evaluators and stakeholders jointly and collaboratively create (or move toward) a consensual valuing construction of the thing to be evaluated. It does not necessarily yield irrefutable (i.e., empirically confirmable) information, although that may be a side product.

Corollary 1a: Evaluation creates reality.

Corollary 1b: The consensual valuing construction that is the outcome of the evaluation is subject to continuous reconstruction (change) including refinement, revision and, if necessary, replacement.

2. Evaluation is a process that subsumes data collection and data valuing (interpretation) into one inseparable and simultaneous whole.

Corollary 2a: No portion of the evaluation process can be considered to be value-free.

3. Evaluation is a local process. Its outcomes depend on local contexts, local stakeholders and local values, and cannot be generalized to other settings.

Corollary 3a: Evaluation data from other settings cannot be applied to local settings, although it may be adapted or learned from, in the sense of vicarious experiences.

4. Evaluation is a sociopolitical process. Social, cultural and political aspects, far from being merely distractions or nuisances, are integral to the process and are at least as important as are considerations of technical adequacy.

5. Evaluation is a teaching/learning process. Evaluators, clients, sponsors and all stakeholders both teach and learn from one another; indeed such teaching/learning is an absolute prerequisite.

6. Evaluation is a continuous, recursive and divergent process, because its "findings" are created social constructions that are subject to reconstruction. Evaluations must be continuously recycled and updated.

Corollary 6a: A good evaluation raises more questions than it answers.

Corollary 6b: A good evaluation has no "natural" end point.

7. Evaluation is an emergent process. It cannot be fully de-

signed in advance because its focus (or foci) depends on input from stakeholders and its activities are serially contingent.

Corollary 7a: Evaluation is a process with in-principle unpredictable outcomes.

8. Evaluation is a process for sharing accountability rather than assigning it.

9. Evaluation is a process that involves evaluators and stakeholders in a dialectical relationship.

Corollary 9a: Evaluation integrates the construction of stakeholder groups and the constructions that the evaluator brings to the evaluation. It aims toward consensus but requires, at a minimum, the clarification of competing construction. Evaluation thus implemented is an educative activity for all.

Corollary 9b: Evaluation is a collaborative process in that several stakeholder groups share control with the evaluator over the methodological and interpretive decisions. Evaluation thus empowers.

Corollary 9c: Evaluation is a process that eliminates the distinction between basic and applied inquiry. Evaluations aid understanding and identify the nature of necessary action.

Corollary 9d: Evaluation is a process in which the proper conduct requires the evaluator to engage in face-to-face interactions with individual stakeholders.

10. Evaluators play many conventional and unconventional roles in carrying out fourth generation evaluation.

Corollary 10a: The evaluator remains a technician, but as a human instrument and data analyst; a describer, but as a historian and illuminator; and a judge, but as an orchestrator of judicial process.

Corollary 10b: The evaluator becomes a political collaborator, a stage manager, a reality shaper and a change agent, sharing the responsibility for the outcomes of the process in each of these ways.

11. Evaluators must possess not only technical expertise but also relevant interpersonal qualities. Among those are patience, humility, openness, adaptability and a sense of humor.

method, the evaluator investigates a program from many different perspectives and takes into consideration the different points of view of those who have a "stake" in the program. Searching for the different views of stakeholders thus becomes the aim of the evaluator. For example, the perspective of an anti-crime program may be obtained from police, neighborhood leaders, the city council, the general citizenry, and school teachers. However, this new method has been criticized as an endorsement of pluralism (House and Stake, 1991).

The effect of federal assistance on crime can be viewed from different perspectives. The perspective of the dialectician is interested in opposing forces or opposing opinions. On the one side is crime changes, which are indicated by changing victimization rates. On the other is anti-crime changes, which are indicated by anti-crime activities that were added to state/local government anti-crime activities by justice federal assistance funds. Thus, we are interested in the pattern of victimizations and the pattern of anti-crime justice federal assistance activities.

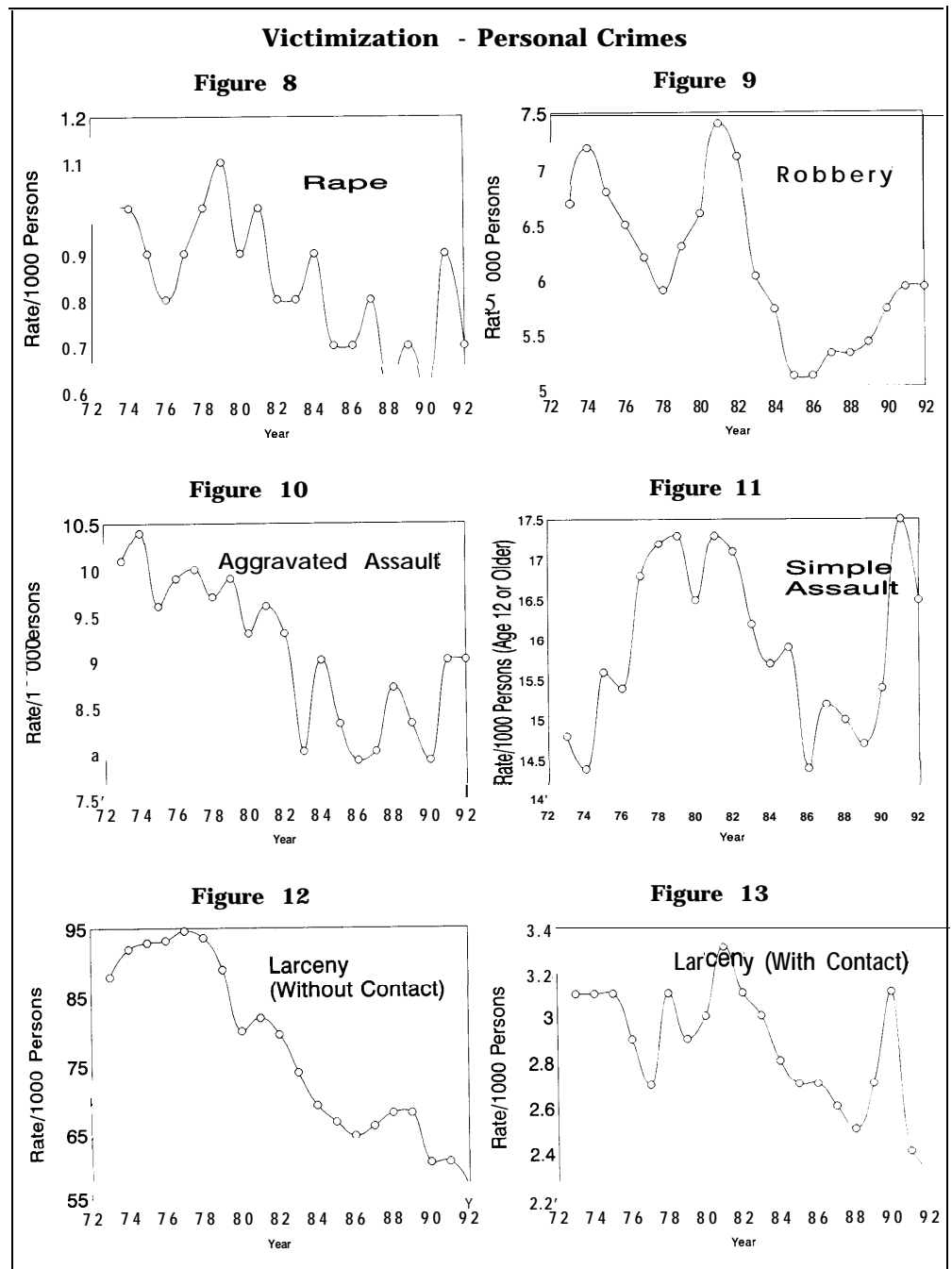
Figure 7 shows the trend of justice federal assistance from 1969-91. This trend is the budget of the Office of Justice Programs (OJP), U.S. Department of Justice, which includes R&D activities of the National Institute of Justice. This figure also shows the patterns of "personal" and "household" crime as measured by victimization surveys. These surveys have been conducted annually since 1973. The designation of All Personal Crimes is an aggregate of six crimes: rape, robbery, aggravated assault, simple assault, and larceny (with and without contact). The designation of All Household Crimes is an aggregate of three crimes: burglary, larceny, and motor vehicle theft.

Note that the patterns of All Personal Crimes and All Household Crimes are similar in that they follow a 4-step sequence of (1) **rising**, (2) **peaking**, (3) **falling**, and (4) **leveling**. This sequence is of interest to the dialectician for several reasons. First, "rising" implies that crime is virtually unlimited and free of highly opposing forces. Second, "peak-

ing" implies that crime has become limited by some kind of opposing forces. Third, "falling" implies that the opposing forces exceed the forces of crime and are seemingly winning a tug-of-war. Finally, "leveling" implies that crime and its anti-crime activities are in equilibrium. When a dialectic is in equilibrium, it can be de-

stabilized by adding or subtracting forces to either side of the tug-of-war.

The individual patterns of all nine crime types are given in Figures 8 through 16. In general, they follow the same four-step sequence. Also, note that all nine crime types pass through a falling phase between 1979-85, and



Victimization - Household Crimes

Figure 14

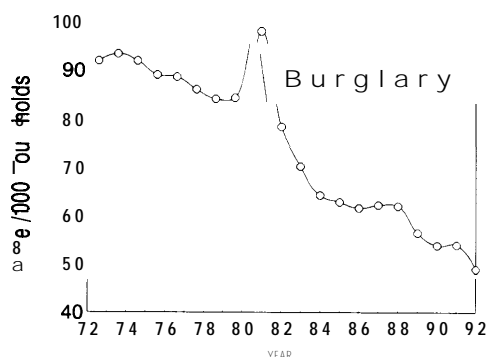


Figure 15

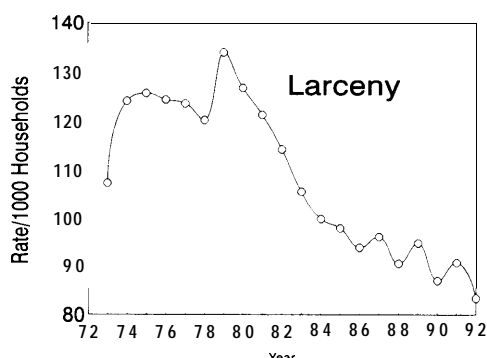
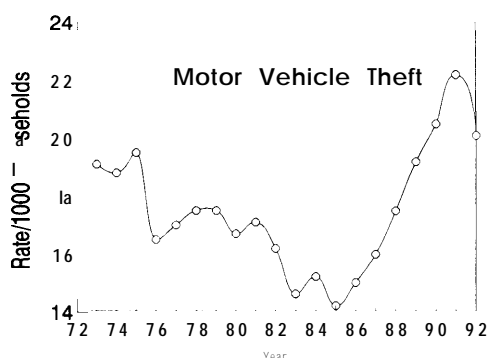


Figure 16



then enter what could be called an equilibrium phase. The fact that they fall collectively by about 25 percent to a new equilibrium point following the peak funding of LEAA cannot be taken lightly given the fact that a delay time of years is customarily needed for society to assimilate and use new ideas. However, these nine figures also indi-

cate that the equilibrium point was not sustained. A few of the crimes (robbery, aggravated assault, and larceny with contact) began to rise again. Because these crimes are committed by the most violent criminals, a new period of violence has been entered. Further, motor vehicle thefts have risen drastically. One might speculate that such thefts may be due to the availability of crack cocaine in the mid-80s and the drug user's need to get money to support the habit.

The author rejects the assertion that human behavior is the result of custom or habit, (e.g., Hume, 1988). It is widely accepted that individuals have freedom. Thus, we can change our habits and hence the customs of society. The patterns of crime in these nine figures indicate that societies are dynamic and transform themselves from one phase of behavior to another. Individuals can shed unwanted habits for new and more desirable ones, just as physical substances can be transformed from solids to liquids and then to gases as heat is added to them. For example, from an energy standpoint past economies were wood-based. Currently, economies are oil and natural gas based. In the future, they will be nuclear-based. Obviously, the words and phrases found in the languages of these different economies and the social relations of their people will be highly different, so much so that what was viewed as logical and reasonable in one economy would be considered highly illogical and unreasonable in another one.

Just as materials change over time, individuals and societies also change. Obviously, such phase changes are difficult to detect over short time periods. With respect to criminality, the U.S. entered a new phase and hence began to express new forms of logic and rationale in the 1960s when crime rose to a new level and remained there. With this new phase, fear of crime rose and the presumption was that it was impractical for the elderly to leave their homes after dark. As Figure 7 indicates, the nation then transformed itself into a different phase in 1979-84 during which criminal behavior was being limited and reduced

to a point where yet another logic and rationale could develop and possibly sustain a new society. However, in 1986 some crime categories began to rise again. This indicates that the new logic and rationale that developed by 1984 could not be sustained by the existing anti-crime activities.

Based on these figures, the dialectician could first argue that the LEAA program of justice federal assistance may not have been of sufficient duration and/or magnitude to transform the nation permanently into a phase in which crime could be maintained at the reduced level. Second, it could also be argued that the anti-crime activities did not maintain the new phase because its activities were "more of the same" and lacked sufficient innovation. Finally, it could be argued that new policies to increase incarcerations and durations of sentences, which began in the 1980s, did not fill the void of federal assistance because they were also unable to maintain the reduced levels of victimization in 1984.

Certainly one could argue that the anti-crime force imposed by justice federal assistance was not the only force. However, one must agree that this federal force presented a highly opposing and thus significant anti-crime force. In simple terms, the dialectician would respond to rising crime with a strong opposing force such as LEAA/OJP, just like he would cool a bucket of hot water by adding cold water, not cool, tepid or warm water.

Conclusions

The first study found that the demand for federal R&D expenditures by the justice system is very low compared with demands of other national systems. The low demands for federal R&D funds by the justice system relates to the fact that managers of the justice system have not yet recognized the utility of R&D as a means to develop and improve the justice system. Until justice system managers institutionalize the R&D process, federal R&D expenditures for justice can be expected to remain at the current level. Without increasing justice

system R&D efforts significantly, very little system progress can be expected.

The second study concluded that federal assistance can reduce crime. From 1969-1981, increased federal assistance activities of the LEAA corresponded with a 25 percent reduction in the crime rate. With limited intensity and duration of federal assistance, the national crime rate began to decrease by 1979 and realized the 25 percent reduction by 1984. However, this lower crime rate was not sustained. Some forms of crime began to increase in 1986. The conclusion is that the intensity and duration of fed-

eral assistance provided by the federal government through the LEAA were inadequate to establish a lowered and permanent crime rate. One must conclude that higher intensities and longer durations of federal assistance will be needed to produce significant and permanent reductions in crime nationally. The return of some crime rises in 1986 also indicates that altogether new anti-crime strategies must be found.

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Treatment Improvement Protocols - - Now Available! - -

The Center for Substance Abuse Treatment (CSAT), of the Substance Abuse and Mental Health Services Administration, U.S. Public Health Service, is pleased to announce the availability of the Treatment Improvement Protocols (TIPs). These treatment guidelines reflect the collaboration of clinical, research, and program experts dedicated to the practical needs of the treatment community.

The available TIPs are listed below, followed by a publication number which should be referenced when ordering:

- State Methadone Treatment Guidelines (BKD98);
- Pregnant Substance-Using Women (BKD107);
- Screening and Assessment of Alcohol and Other Drug (AOD)-Abusing Adolescents (BKD108);
- Guidelines for the Treatment of Alcohol and Other Drug (AOD)-Abusing Adolescents (BKD109);
- Improving Treatment for Drug-Exposed Infants (BKD110);
- Screening for Infectious Diseases Among Substance Abusers (BKD131);
- Screening and Assessment for Alcohol and Other Drug Abuse Among Adults in the Criminal Justice System (order # unavailable at press) ;
- Intensive Outpatient Treatment for Alcohol and Other Drug Abuse (order # unavailable at press); and
- Assessment and Treatment of Patients with Coexisting Mental Illness and Alcohol and Other Drug Abuse (BKD134).

Copies of the TIPs may be obtained from:

National Clearinghouse for Alcohol & Drug Information
PO Box 2345
Rockville, MD 20847-2345
Telephone: 1-800-729-6686

NIC UPDATE

Public Protection Through Offender Risk Management

by David D. Dillingham, NIC

Punishing offenders and protecting society from the risk of future criminal behavior are accepted functions of corrections. In 1984, the National Institute of Corrections' Community Corrections Division began promoting the idea of developing policies, managing agencies and running programs that recognized both of these purposes as important and appropriately balanced their use. In the NIC publication, *Directions for Community Corrections in the 1990s*, by Vincent O'Leary and Todd Clear, the phrase "Limited Risk Control" was coined as a way to describe this conceptual framework as the underlying operational philosophy of corrections.

Strong evidence, now indicates that merging supervision (for short-term external controls on offenders) with treatment (for longer-term internal controls in offenders' lives) is much more effective in achieving public protection.

Limited Risk Control was later renamed "Limited Risk Management" as a more descriptive way of indicating corrections' joint responsibility to deal with the possibility of criminal behavior by those under its control, but within limits imposed by concerns for fairness and equity. Recognizing that corrections has changed considerably since the early 1980s, the original publication has recently been completely rewritten and updated. It will shortly be available through the NIC's Information Center in Longmont, Colorado.

Managing risk - how best to keep individuals from committing new crimes

- is a topic of much debate and controversy. Since the concept of rehabilitation experienced a reduction in popularity in the 1970s, attention has focused on incarceration, residential programs and intensive community supervision to keep individuals from breaking the law. These externally imposed controls on behavior became the interventions of choice in the war on crime. Longer terms and stricter sanctions (i.e., greater use of prisons and jails, intensive probation, home confinement) were used, not only to express society's displeasure with criminal acts, but as a way of preventing new illegal behavior.

Conventional wisdom held that "getting tough" both punished the individual offender and protected the public. A long and harsh sentence made it impossible for the offender to commit crimes while locked up, and discouraged further criminal activity after release. Such sentences also served as a warning to other potential offenders who contemplated breaking the law that crime did not pay.

However, at mid-decade, the effectiveness of punishment as a means of ensuring public protection through incapacitation and deterrence is being called into question. This is partially due to pure economics; such measures are extremely costly and the competition for scarce public dollars is high. Ancillary to this is the lack of apparent benefits - such measures do not appear to be getting us what we want. In sum, the cost/benefit ratio is dismal. To date, there are no research studies showing a link between the use of punishment and reduced recidivism. Thus, from a public protection standpoint, it is very difficult to promote intensive probation

programs that emphasize supervision and control as primary interventions.

Such findings are helping to refocus attention on programs that not only supervise and control, but also rehabilitate through appropriate interventions. Strong evidence now indicates that merging supervision (for short-term external controls on offenders) with treatment (for longer-term internal controls in offenders' lives) is much more effective in achieving public protection.

A number of agencies have begun to experiment with incorporating these ideas into their operations. For example:

- The Vermont Department of Corrections has committed itself to using Limited Risk Management as the philosophical base for running their agency. Community as well as institutional sanctions are closely linked. A system of levels of supervision and custody have been established, into which offenders can be appropriately placed. Equity and fairness act as underlying principles which "limit" supervision and custody decisions.

- The New York City Probation Department is facing severe budget restrictions, while their workload is growing dramatically. Rather than continue with business as usual, they have undertaken a massive restructuring effort designed to reduce violent recidivism among high-risk probationers. Resources are being shifted from the lower risk individuals to focus on those most likely to cause harm. An objective risk instrument has been developed to identify offenders at greatest risk. Opportunities for changing behavior through group and individual interventions are offered and automation is being introduced to minimize resources expended on unproductive activities.

• Through the Administrative Office of the Courts. Colorado's probation departments have begun to focus on interventions which identify and change the behavior and thinking patterns which contribute to offenders' criminal behavior. Through structured group meetings, probationers are helped to change those attitudes and actions which lead to new law violations. Research findings to date show substantial success among those participating. This process is helped by

a classification instrument: the level of Supervision Inventory, or LSI. It identifies those dynamic risk factors which lend themselves to change; it also serves as a base for ongoing case planning.

Beginning this fall, to help community corrections administrators and practitioners better understand these new approaches, the Community Corrections Division of the National Institute of Corrections will present a series of 2½ day regional workshops. In addition,

shorter intensive programs will be presented as part of national, regional and state professional conferences. For example, one such program will be presented at APPA's 1995 Winter Training Institute in Charleston, South Carolina. All programs will be co-sponsored with various professional organizations. Those interested in hosting such sessions are encouraged to contact David D. Dillingham at the NIC by calling (202) 307-3995, ext. 132. □

Keep Your Voice Strong! JOIN APPA NOW!

What is APPA?

The American Probation and Parole Association (APPA) is a nonprofit organization committed to the improving probation and parole practices at all levels by fostering the development of necessary knowledge, skills, resources and legislation for the most effective and realistic probation, parole and community-based correctional programming.

What does APPA do?

APPA conducts specialized training programs for all levels of practitioners in both adult and juvenile probation, parole and community-based corrections. Technical assistance is offered to agencies wanting to upgrade their services or develop innovative programs. APPA also conducts the only national training institutes offering workshops, special sessions and an exhibit showcase designed specifically for community corrections.

What does membership in APPA include?

Membership includes the following benefits:

- a paid subscription to Perspectives, APPA's quarterly magazine;
- reduced registration fees for APPA training events and Institutes;
- voting privileges in APPA elections;
- an opportunity to run for an elected position in APPA; and
- an opportunity to voice your view on the critical issues facing community corrections.

How do I join?

Simply fill out the form below and return it with a check or money order, at the rate of ~~\$35.00 for a year~~ or \$90.00 for a three-year subscription, payable to "APPA." Join now or renew your current membership now, and you will receive a free copy of your choice of one of APPA's publications containing state-of-the-art information on criminal justice issues. HURRY. quantities are limited!

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Please select your free publication, indicating your 1st and 2nd choice.

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- ____ Community Corrections: *Saving Dollars and Lives* conference materials (\$15.00 value)
- ____ A Guide to Enhancing Victim Services Within Probation and Parole (\$19.95 value)
- ____ *Identifying and Intervening with Drug-Involved Youth* (\$10.00 value)
- ____ Set of three drug testing resources (\$18.00 value):
- *A Comprehensive Review of State-By-State Probation and Parole Drug Testing Case Law;*
 - *Innovative Programs for the Drug-Involved Offender on Probation or Parole;* and
 - *Questions and Answers About Drug Testing as a Probation and Parole Component*

Payment (in U.S. dollars) must accompany membership application. Mail to: APPA, c/o The Council of State Governments, P.O. Box 2167, Lexington, KY 40595-2167. For further information, call (606) 244-8207 611 APPA 100 4020

FORUM

Readers Respond to APPA's Position Statement on Weapons

The proposed APPA Position Statement on Weapons was printed in the Spring 1994 issue of Perspectives, and was considered for final endorsement in September at the Phoenix Institute. The responses to this position have been varied and interesting. The membership of the Positions Committee want to thank the members who took the time to give us their opinions, and we are sharing three letters with you to demonstrate the range of reactions:

I believe that the APPA Position Statement on Weapons is an excellent one.

The majority of the 94 Federal District Court Probation Offices are "armed." The Northern District of Ohio remains in the minority. Many probation officers in this District would like to carry firearms, and my response to date (has been) that we must first have in place thoughtful policies regarding all of the issues surrounding the use of force.

I am pleased to note that the first requirement I placed on our Safety Committee was the development of a "continuum of force." The APPA Position Statement provides (a) very useful follow-up to that "continuum of force" statement. I have provided a copy of the APPA statement to our Safety Committee Chairs and have indicated to them that the standards contained in the APPA Statement will be minimum standards in the Northern District of Ohio Probation Office.

- **Keith A. Koenning**
Cleveland, Ohio

I have just read "APPA Position Statement: Weapons," in the last issue of Perspectives. Your usual good work. I do have a comment.

The discussion section of the statement seem more related to staff safety than to a position on weapons. Staff safety and officers carrying weapons are two separate issues. I feel each is important enough in its own right to be dealt with separately. There is a lot of good material in the discussion covering both issues. It would be easy to make two position statements, with discussion, from what is available. The way the statement is now worded, weapons seem to be an essential part of officer safety.

If the statements were separate, I might add more to the weapons discussion. You know I have been opposed to arming officers. Missouri has never moved in this direction and I don't see any change in the future.

Thanks for requesting reader input.

- **Gail D. Hughes**
California, Missouri

First and foremost I feel the American Probation/Parole Association has done a great injustice in writing an article "Position Statement: Weapons" without thoroughly researching the available data on the subject. If the APPA had done so they would have realized that the trend over the past 10 years has

been to arm probation and parole officers. This is centered around the issue of officer safety and has been highly documented in articles written in Federal Probation.

Second, not only did the APPA fail to research the available data, but in writing the article they set standards that are much higher than most police agencies throughout this country in the training and use of firearms. I blame this again on the paranoia over the issue as to whether probation and parole officers are treatment oriented or enforcement oriented. If the available data had been researched you would have realized that approximately 50% of the federal parole officers are armed and in the past 11 years only one incident of an officer drawing his weapon has been recorded.

I would conclude that if you are going to write a position statement concerning an issue that has grave impact on probation and parole, the Association should have at least researched the data. Thus you would not have written another article that fails to resolve the issue of officer safety and the position of carrying firearms.

- **Edwin W. Bright, Jr.**
Staunton, Virginia

Beyond "Letters to the Editor," which are always welcome in Perspectives, APPA provides a forum for community corrections professionals to talk about what's on their minds in a substantive format. APPA welcomes your submissions and hopes you will use this opportunity to "speak out!" (Mail features to APPA Perspectives, Attn: FORUM, c/o The Council of State Governments, P.O. Box 11910, Lexington, KY 40578-1910.)

Applying TQM To Probation/Parole Practice

by Vincent D. Basile, Supervisor of Probation Services, Massachusetts Trial Court

For nearly ten years, much ado has been made about the new and challenging management philosophy called TQM - Total Quality Management. Although many have been evangelized by this new "touchy-feely" management style with its emphasis on continuous improvement, there are still many skeptics who refuse to see any benefit to be derived from its application. This is especially true in the public sector where change of any sort is viewed, at its worst, as an assault on the status quo, and at its least, as the perpetrator of unnecessary tension and anxiety.

This article shall attempt to illustrate that the proper application of the continuous improvement philosophy will not only challenge the traditional way we do business - such as the way we supervise offenders - but through the use of new paradigms or ways of thinking, will create an environment of trust, open communication, empowerment, organizational alignment and satisfaction for both the customer and the supplier.

Probation and parole administrators, managers, and line officers should be just as concerned with customer satisfaction as any of their peers in the private sector. For everyone in the community corrections system is both a customer and a supplier, whether it be the offender, the line officer, the manager, the victim or the taxpayer - each is supplying something to the system and each has certain expectations of receiving something in return. For example, the public provides the funds for us to be in business, e.g., the money for salaries, purchase of services, training, equipment. Conversely, the public is an important customer, one that expects quality service in terms of community safety and reduced recidivism. Even the offender should be viewed as a customer, one

who is not only held accountable for his/her transgressions, but who should expect, through competency development and improvement, to exit the system a better individual than when he or she first arrived (Bazemore, *Federal Probation*, Sept. 1992). To this end, as we approach the year 2000, it is just as important that all of our personnel be as versed, trained, and committed to continuous improvement as their counterparts at Ford, Motorola, or General Electric.

In order to create a Total Quality agency, I believe there are five basic ingredients that are required. The categories listed below comprise a compendium of the literature and anecdotal experiences put forth by various individuals and organizations.

- 1 . . . A Vision
- 2 . . . Patience
- 3 . . . Pride in Performance
- 4 . . . Commitment to Excellence
- 5 . . . Perspective

Vision

Vision prescribes where it is we want the agency to be, not just in the present or near future, but well into the next century. It is futuristic, enduring, and strategic. When the then 85-year-old president of Matsushita Electronics was asked how far down the road he expected his company's vision statement to last, he is said to have replied, "two hundred and fifty years" (Blanchard and Peale, 1989). The vision statement defines an agency's purpose in being, while also providing constancy to that purpose. It is the very soul of an existence. A vision statement takes time to craft and develop; and while it may undergo evolutionary change in order to conform to new trends and technolo-

gies, it never deviates from the agency's stated purpose. The vision statement need not be long or involved, but it does take time to articulate. The leader defines the agency's vision, but input needs to be solicited from all of the stakeholders, such as line officers, secretaries, and the general public. The vision transcends the agency's goals and should never be confused with them. As Blanchard and Peale point out, "The vision is the road one takes through life; the goals are the many stops along the way." The vision statement of the Field Services Division of the Massachusetts Probation Service (which is responsible for state-wide regional administration, training, and program development) is only two sentences long. It reads, "We the staff of the Field Services Division commit ourselves to supporting and improving the Massachusetts Probation Service. We are dedicated to providing the highest quality of services and oversight to local probation offices, so that each office might enhance public safety through its commitment to excellence in probation practice."

For the most part, probation has had neither a vision of what it was about, nor a clear understanding of its purpose in being. Instead it has vacillated between the various roles of law enforcement, social work, counselling, and broker of services. This certainly has led to confusion in the perception of staff, the public, and all of our customers and suppliers. The constancy of purpose has been missing.

On the other hand, those agencies with a clear, concise, constant vision are successful in creating an alignment within the organization. Every employee, division, and department has a vision statement that is "in sync." The barriers of competition and divisiveness are

broken down; everyone is working together for the same results.

Patience

Patience is most necessary if one hopes to create an atmosphere of behavioral and attitudinal changes in the way business is conducted. Total Quality Management is not a "quick fix" approach to problem solving. Rather it is a strategic, long-term, ever improving process for ensuring the timely and appropriate delivery of quality services to both internal and external customers. Most organizations from Motorola to Xerox to the U. S. Department of Defense have programmed a timetable of seven years in order to get the paradigm of TQM absorbed at all levels - from top management to middle management, to supervisors, and line workers. For every member of the agency's hierarchy, TQM constitutes a change in behavior and attitude.

Middle managers will have a very difficult time accepting the philosophy of TQM, for when properly applied, TQM greatly reduces the function and authority of this group. Additionally, unions will initially challenge the concept that seems to eliminate jobs while requiring more work to be done. This is not the case. What will happen is that middle managers will have more time to be conceptual and innovative - to use their skills in a more appropriate way. Union employees will be solicited for feedback on ways to eliminate non-essential tasks, thus giving them more time to do the tasks they were hired to do in a more effective and efficient manner. Management must be ever conscious of the fact that people do not resist change, rather they resist being changed. This is primarily because of the anxiety caused by doing things differently. Thus, all components of the organizational system need to be included in the preparation, implementation, and maintenance of the TQM movement. This will take time and often will strain every one's patience. The reward is that, despite reduced staff and fiscal resources, the agency, the employ-

ee, the public, and all of our customers benefit.

Since it is known that behavior can be changed through knowledge, it is most imperative that the agency commit itself to a philosophy of training, training, and more training. Dr. Edwards Deming (of MIT) believed that 85 percent of all problems were process problems, thus they were viewed as problems of management. That is why he placed so much emphasis on training individuals and focus teams, and in the matching of an individual's special skills to their function within the organization. As Dr. Steve Covey points out in his work, *Principle Centered Leadership*, most people function below their skill levels. Through training and patience every employee is able to continually improve his or her performance level.

In summation, patience is an active ingredient of TQM. Problems can no longer be merely swept under a rug and energy can no longer be devoted to cleaning up the coffee stains. Managers must change their way of thinking; they need to stop devoting their time to putting out fires and expend more effort in preventing poor performance.

Improvement must be viewed as a continual process. A paradigm shift from "all right for government work" to one of providing quality service to our internal customers (line officers, clerical support staff, judges and administrators) and our external customers (the tax paying public, the victims, other criminal justice agencies, and even the probationer/parolee).

Pride in Performance

This is essential if an agency is to adopt a TQM mentality. If our employees cannot feel good about themselves then it is impossible to get them to feel good about their agency and the customers it serves. To this end, management must be totally committed to providing an environment of continuing improvement, and must transmit this message to its employees in an atmosphere of openness and trust. Interpersonal communications are vital to the success of a TQM endeavor. Managers

at all levels must be willing to listen to suggestions from the lowest and newest workers. Every internal customer (and remember, every customer is also a supplier) must be made to feel self-worth.

Managers should continually look for feedback from their staff, be it the line officer who is supervising a parolee/probationer, or a secretary who is typing a parole hearing report.

The team concept ensures that everyone in the organization has an understanding of his/ her function and an individual/team vision that is in alignment with the agency's vision.

As with patience, training is essential if one is to develop a feeling of pride in performance within an agency or organization. Employees need to know what the ground rules are and what is expected of them in terms of quality performance.

If deadlines are not met; if reports are lacking in substance; if offenders are not held accountable for compliance to conditions of probation or parole, then closer attention needs to be paid to the process that produces these problems. To this end, dependency on inspections and audits must cease. Deming would argue that when there is a need to monitor or audit, the emphasis should be on processes within the system and not to the final product. Emphasizing the latter will only result in a waste of human resources, material, time, and money. Moreover, it is easier and more efficient to look for a process problem early on at the input stage, rather than at the output point.

Collaborative efforts, team building, and horizontal functioning are all important ingredients of pride in performance. Agency hierarchies should be eliminated where possible, or at a minimum reduced so that the organizational chart becomes horizontally rather than vertically oriented. While a system of recognition and rewards for quality performance are important, the focus should be directed toward team efforts

rather than individual accomplishments. This will help to reduce individual and divisional competitiveness while eliminating a barrier to pride in performance. Use of personal appraisal reports should be restricted to providing feedback to employees and should serve as a tool for improving performance.

Commitment to excellence requires management to recognize that training is an investment and not an expense.

The team concept ensures that everyone in the organization has an understanding of his/her function and an individual/team vision that is in alignment with the agency's vision. To this end, it is imperative that managers at all levels, as well as front-line supervisors, caseworkers, clerical staff, customers and suppliers, participate in the team approach to problem solving. The caveat is that, for teams to work they must be all inclusive. To this end, managers and supervisors need to be willing to participate as team members and not necessarily as the team captain. In fact the team, if it is truly empowered, will usually function better when the team leader is not a supervisor and when the facilitator is someone without a vested interest in the outcome of the team's deliberations.

However, at the core of pride in performance is an organization's willingness to empower workers to make decisions at the lowest level of the hierarchy. Empowerment gives the employee a stake in both the organization and in the end product. Simultaneously, it enhances the process by making it run more effectively and efficiently. The parameters of empowerment need only be limited to the individual/team's level of capability, and the seriousness of the consequence involved in the decision. Empowerment does not mean that management is abdicating its role, rather it helps to guarantee that every employee knows that he/she is responsible for his/her actions and are accountable for the consequences.

Commitment to Excellence

Inherent in the concept of commitment to excellence is the need to ensure that quality is front-end loaded into the services provided to all of our customers, be it a timely pre-sentence investigation for the court; the enforcement of a protection order; or networking with social service providers. TQM is a leadership philosophy for continuous improvement that requires a paradigm shift from doing things the way they have always been done. It is not enough to simply do things right; to be a leader one must be able to determine the right thing to do. As Dr. Deming often stated, "It is not enough to do our best, we must know what to do and then do our best."

Tangential to excellence and quality is the ability to anticipate the needs of our customers. If trends project a rise in the number of adolescent female drug addicts, it is important to have resources in place to deal with this population well before the problem gets out of hand. If the tardiness of preparing PSIs is creating a backlog in the court, the process needs to be scrutinized for improvement. With a public that is showing increased disenchantment with government, and with looming threat of privatization on the horizon, the public sector cannot content itself with simply meeting customer needs; rather, it must constantly seek to delight the customers, especially the external customers, by servicing them better than they anticipated.

External customers - victim, judge, offender, witness, prosecutor - perceive the quality of service at the time of their first encounter with the agency. This is the 'moment of truth.' How a public service agency treats a customer at the initial meeting will determine that customer's attitude toward the agency.

To this end, employees at all levels must be trained in TQM fundamentals. Managers, supervisors, and in some cases, front line workers must further be trained in and become familiar with the tools and instruments of TQM. Control charts, run charts, flow charts, Pareto diagrams, and histograms, to name a few must be utilized to both gather in-

formation and to measure the agency's effectiveness in its delivery of quality service.

The Deming Wheel, also known as the Shewart Wheel, has to be put to continual use. "Plan, Do, Check, Act," must become the mortar that holds the TQM program together. Once process problems are identified, everyone involved in the process needs to collectively design a "plan" for corrective action. A prototype of the improved design is then tested. This is the "Do" quadrant of the Deming Circle. In the "Check" sequence the improvements must then be measured, using the TQM tools, for the desired results. Once management is satisfied that the prototype works, the changes are adopted and "Acted" upon. Improvements should become part of the agency's procedures manual, and where appropriate should be incorporated as a standard of compliance. However, the circle continues to be put to use for still better ways to improve the process or to correct other systemic problems. Just as a circle never ends, neither does the quest for perfection.

Commitment to excellence requires management to recognize that training is an investment and not an expense. Staff needs to be trained, and continually retrained in the principles of TQM and the use of TQM tools.

Managers need to stop thinking solely in terms of getting things done. They need to think strategically - to know what the right things are that have to be done, while putting a halt to the practice of "quick fixes." Many managers are like hockey goalies, constantly stopping shots. They need to begin thinking in terms of the management of resources and the leadership of personnel.

Effective managers are leaders; effective supervisors are coaches, not bosses. By collectively working *with* subordinates rather than through, or in some extreme cases, against them, more energy is expended focusing on the quality of probation/parole services. To this end, management must ensure that there is time for training. They must also guarantee time for teams to meet and collaborate. We need to escape from

the mindset that, "There is never time to do it right the first time, but there is always time to do it over again."

Perspective

This is the vantage point from which we both view and judge the panorama of facts and circumstances before us. It is the looking glass by which an individual or an organization is able to observe and to relate a happening to its proportional importance within that person or organization's universe.

To effectively implement a TQM program in a probation/parole office requires not only the application of the components listed above, but a change in which top executives, middle managers, supervisors, and line workers view the world and the systems around them. The focus must be on solving problems, not simply identifying them, and never on placing blame. There can be no room for quick fixes or putting out fires. Continuous improvement means just that - ongoing and global strategic planning, combined with an analysis of past and present operations.

Every employee must be familiar with the organization's position in its universe of government and its galaxy of the criminal justice system. This paradigm shift will require us to think globally, while acting locally. To this end it is most important that we come to appreciate the need for self awareness. Individually and organizationally, independently and collectively, we must assess our strengths and weaknesses. For only by seeing ourselves can we hope to get a clear picture of the world around us.

We need to reflect and think about where we have been, where we are, and most importantly, where we are going and how we are going to get there. Just as important, however, we need to develop an equilibrium between thinking and acting, as too much of either creates an imbalance that leads to inertia or errors in judgment. Perspective then enables us to remain committed to our vision and to excellence in achieving that vision.

To this end, partnerships need to be forged with other criminal justice agen-

cies, with vendors, with suppliers in and out of government, and with the public. Additionally, probation and parole agencies need to concentrate on more community outreach. It is not enough to simply ensure that offenders comply with conditions of probation or terms of parole liberty. A new, proactive paradigm of crime prevention needs to be developed if we are to be successful in our mission of public safety and the rehabilitation of the offender.

Managers must start to function as leaders; they should see themselves as coaches and facilitators, not as bureaucrats. As Warren Bennis asserts, "Managers do things right, while leaders do the right thing." To this end, administrators must be committed to lead by example. They must have the moral courage to make the tough calls and should expect no more from their subordinates than they themselves are prepared to give. That requires a psyche rooted in strong principles and ethics. Managers need to be willing to "walk the talk."

Training must continually be provided either in-house, locally, or at regional or national seminars. Providing training time, materials, and location is the responsibility of management, and must be viewed as part of an employee's work. Training should be perceived as a necessity and not an expense. As Albert Einstein once wrote, "The significant problems we face today cannot be solved at the same level of thinking that existed when we created them."

Decisions need to be information-based. No longer can an agency afford to make decisions based upon assumptions or gut-feelings. Tangentially, every information-based decision requires a strategic information based system. As Dr. John Donovan points out, "An information system is strategic when it enables an organization to meet its highest goals, giving that organization a competitive edge, be it survival. . . ." Thus, it is necessary that, depending upon their particular role and function, all employees need to be trained in the proper use and application of TQM tools and instruments.

Innovation must become an organizational and individual way of life. The newest employee, no matter what level in the agency he or she occupies, should be encouraged to provide feedback and suggestions. Conversely, managers and supervisors need to always be willing to listen. Innovation requires a new way of looking at things; this, in turn, requires a change in the way we perceive things - a paradigm change. Dr. Steve Covey in *Principle Centered Leadership* notes that, "Breakthroughs are usually the result of breaks from." Barriers to change need to be eliminated, and all employees have to be encouraged to handle change.

Continuous improvement means just that - ongoing and global strategic planning, combined with an analysis of past and present operations.

Additionally, unit and individual competition must be viewed as an obstacle to improvement and innovation, while teams and team approaches to problem solving should be encouraged. No one individual or work group has the answer to all the problems.

Above all else, the organizational perspective must focus on customer involvement and satisfaction. Customer surveys should be conducted, and customer levels of satisfaction should be measured.

The perspective must be enlarged and changed so that we no longer content ourselves with merely pleasing the boss - often seen as the most important customer in traditional organizations. Nor can we be satisfied with simply doing only those tasks that get us through another day.

A successful organization knows what it wants and is acutely aware of its customers' wants. It then seeks to not only meet these needs, but to exceed the customer's expectations.

Application of Continuous Improvement

Organizations, like individuals, have a hierarchy of needs similar to those

originally proposed by Abraham Maslow. If probation/parole agencies are to achieve their vision they have to be cognizant of their organizational needs.

I propose a triangular structure (similar to Maslow's) of five levels of need. The structure transcends the spectrum of effectiveness from routine to quality to innovative, while integrating the technical, human relation, and conceptual skills necessary for success.

First, an agency needs to have standards in place. They should be developed over time, and constantly reviewed. They should provide an objective means of measuring an agency's effectiveness. Standards are the framework by which we measure both quality and performance.

Second, effective staff supervision means supervisors function as coaches and facilitators.

Third, an agency needs enlightened management and leadership that is committed to recognizing the worth of the front-line worker, and is not hesi-

tant in empowering workers to carry out their responsibilities.

Fourth, management must be innovative, seeking out new programs to meet and exceed customer expectations. They must recognize the need for everyone to not only do their best, but to know what to do, and then do their best.

Fifth, there must be community outreach. The local probation/parole office needs to be viewed by the community it serves, as a vital part of that community. Presence in the community is not enough. There needs to be a commitment to the restoration and the preservation of a quality of life. A partnership with the community has to emerge, if probation and parole are to not only be successful, but to survive as a vibrant part of the criminal justice system.

The combined application of the principles of total quality management, and the incremental development of the organizational hierarchy of needs, will enable those of us in probation and parole to provide the balanced approach to supervision that Bazemore promotes: protection of the community; accountability of the offender; and the restoration of the offender to society through competency development.

Conclusion

Is there room for total quality management in probation/parole? I believe there is. It will not come easy, for by its very nature it is not a quick fix. It will require a marketing strategy for both our internal and external customers; an alignment of everyone in the organization to the agency's vision statement; an awareness of the customer's expectations; the development of standards; and management's concentration on innovative strategies rather than technical skills. Continuous improvement requires an environment of frank and open communications as well as confidence and trust.

Just in time training in TQM principles and tools needs to be provided to staff. This includes bringing in outside consultants, and providing the staff with

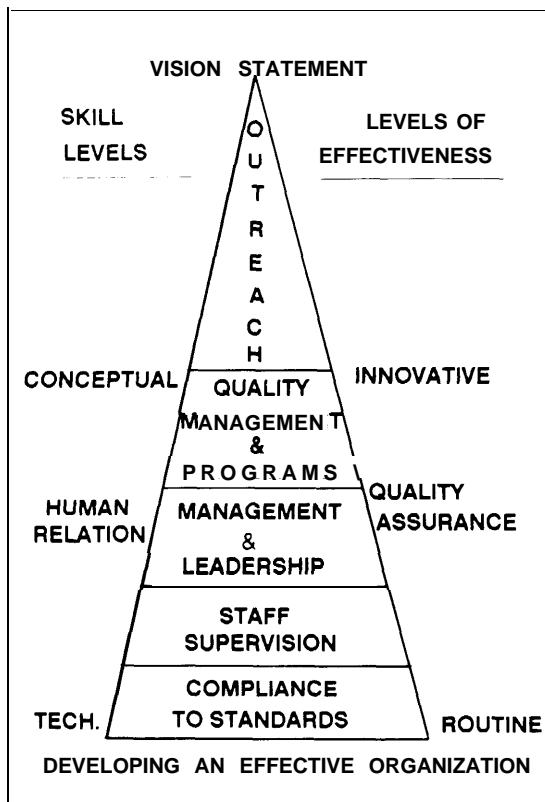
the time, material, and the resources for such training.

Holding this all together will be the crafted vision statement of the agency head and the implementation of effective and efficient management systems.

Concurrently, those individuals who refuse to become stakeholders must be identified and isolated. Obstacles will be set up, but they should not deter you from your objective in being the very best at what you do. Bear in mind that inherent in the philosophy of continuous improvement is the realization that absolute perfection is never achieved. Rather we must be content to continually strive for it. As David Kerans, former CEO of Xerox Corp., often stated, "In the race for quality there is no finish line."

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The Solution To Your Substance Abuse Program Needs

Dealing With Drug Misuse:

Optimism, Realism, Laissez Faire?

by Judith Rumgay, PhD, London School of Economics

Last year I was fortunate to spend time with a team of New Jersey probation officers.¹ On one occasion, in the home of a probationer, as the probation officer prepared to take a urine sample, the following conversation took place:

Probationer (ingenuously): So is probation the same or different in England?

J. Rumgay: It's fairly different.

Probationer: How?

J. Rumgay: Well, for example, we don't do this.

Probationer: You don't take the urine?

3. Rumgay: No.

Probation Officer (surprised): You don't take the urine?

J. Rumgay: No.

Probation Officer: So how do you catch them?

J. Rumgay: Well, we're not really trying to catch them in that way.

Probation Officer: What are you looking for then?

J. Rumgay: It's more to do with social work.

Probationer (*triumphantly to probation officer*): You see - it's a social problem, not a law enforcement problem. I told you, this is not a law enforcement problem.

Probation Officer: It's my job. If they tell me to do it differently, I'll do it differently.

In hindsight, this exchange seems to be symptomatic of a number of issues of contemporary importance to probation officers on both sides of the Atlantic. Certainly, it was a sharp illustration of a different emphasis in professional roles. The definition of American probation activity which was repeatedly offered to me was "enforcing the orders of the court." British probation, still clutching its social work tradition (albeit a tradition that is somewhat battered and besieged in the current policy cli-

mate), has a long way to go before enforcement could be seen as its defining activity.

Furthermore, the predominance of drug offenders in the probation caseload was striking. "Where are all the burglars?" I eventually inquired. "Are they in the prison?" "Good heavens, no," came the reply. "The prison's full of drug offenders too." In turn, the monitoring and enforcement of abstinence seemed to dominate probation activity in the supervision of offenders. To British eyes, the expectation of instant and sustained abstinence seemed both impressively ambitious and naively optimistic: a laudable, but unachievable goal for most probationers.

But practice does not derive simply from the personal aspirations of probation officers for their clients. Practice, in this respect, is surely driven by a public drug policy based on prohibition and criminalisation (Drucker 1992; McCoy and Block 1992). Moreover, a key aspect of this policy has been the principle of user accountability. According to this principle, drug misuse is not the product of social conditions, but of individual autonomy: "In short, the drug problem reflects bad decisions by individuals with free will" (The White House 1992). The resulting concentration of enforcement activity focused upon individual users, producing the swelling proportions of drug users in all parts of the American criminal justice system has been amply described elsewhere (e.g. Drucker 1992; Martin and Lurigio 1994; McCoy and Block 1992). In such a policy climate, can probation officers formulate an alternative approach without isolating themselves in the criminal justice system and exposing themselves to public reproach?

There is no intention here to portray the British penal system as benign. Its rate of imprisonment is among the highest in Europe. The Criminal Justice

Act 1991, a major piece of legislation intended to reduce sentencers' reliance on custody, was reversed in most of its key aspects less than a year after implementation. Nevertheless, British probation officers are fortunate enough to operate in the context of drug policy which has always been comparatively liberal (Trebach 1982). In the current public debate about the rising incidence of drug problems and drug related crime, even some prominent members of the police have declared their opposition to a control policy dependent on enforcement of individual activity (The *Guardian* 1994).

Since the arrival of HIV and AIDS in the 1980s coinciding with an explosion in numbers of young intravenous drug users, "harm reduction" has been a popular policy theme in dealing with drug misuse. The Advisory Council on the Misuse of Drugs (ACMD) led the field by declaring: "HIV is a greater threat to public and individual health than drug misuse. . . . Abstinence remains the ultimate goal but efforts to bring it about in individual cases must not jeopardize any reduction in HIV risk behavior which has already been achieved" (1988: 1). A harm reduction approach, therefore, attempts to minimize the risks associated with continuing drug use: in practice this means such measures as confidential needle and syringe exchange programs; education in safer sex and safer drug using practices; prescription drugs for entrenched users; and cautioning, rather than prosecuting first offenders. Many probation services have produced policies endorsing the harm reduction approach, encouraged by the ACMD (1991) and the Home Office Inspectorate of Probation (1993).

British probation officers, therefore, are not operating in a policy vacuum in adopting harm reduction as their prefer-

red approach in dealing with drug misusing offenders. Unconstrained by the strait jacket of abstinence and enforcement policies, however, such an approach nevertheless creates conflicts for the practitioner of a different order. For the harm reduction approach expects the practitioner to acknowledge, even to explore individual drug **use**, in order to intervene with appropriate harm reducing methods. At one level, this accords with a belief in individual autonomy: information, education and open discussion of real alternatives may empower the user to make and implement decisions about his or her drug related activity. **But**, for the probation officer, what are the limits to tolerance in any particular case? Just how many incriminating details of a probationer's drug related activities can a probation officer afford to know? Do probation officers really have a mandate to advise their clients on safer practices in the full awareness that the possession of drugs is, in the first place, illegal?

At the heart of these questions lies the real dilemma: is harm reduction in probation practice ultimately a euphemism for *laissez faire*? Observing the intensity of attention focused upon drug testing, my question of American probation officers was perhaps unfairly British: "Since you already know there are a lot of violations of the abstinence requirement, why bother to keep on finding them?" I became, however, uncomfortably aware that what appeared to me to be realism might sound to other ears more like fatalism. The American expectation of abstinence may well be naively optimistic, but at least it embraces an unequivocal expression of faith in individual capacity for change.

The most appropriate debate on these issues, between British and American probation officers, probably does not focus on the rights and wrongs of either **country's** drug policies. For at the end of such a debate, each must continue to operate in their own policy environment. Yet, on both sides of the Atlantic, probation officers' decisions in practice with drug misusing offenders are crucially bound up with professional perspectives on the balance between rehabilita-

tion and control of offenders. A healthy integration of these competing aspects of probation work is vital to successful intervention with drug using offenders, whatever the larger policy framework. Exposure to alternative perspectives may not result in their adoption, but, as I discovered, it can provoke a deeper questioning of assumptions and practices which familiarity has reduced to routine.

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Endnote:

'I am grateful to the Nuffield Foundation for financing, Todd Clear for facilitating and Morris County Probation Services, N. J. for accommodating my study of American probation work. 7



HALFWAY HOUSE/ WORK RELEASE REQUEST FOR QUALIFICATION BOULDER COUNTY, COLORADO

The Boulder County Sheriffs Department and the Community Corrections Division, located in Boulder County, Colorado, is seeking qualified individuals and organizations who wish to provide adult, halfway house and work release services for individuals held in a community based correctional program. The contract will be for 65 to 134 beds with a total of approximately \$1,400,000 in payments.

For further information and a copy of the Request for Qualifications (RFQ) contact Steve Glotzer, County Purchasing Agent, PO. Box 471, Boulder, CO 80306. Telephone number: 303-441-3525. All responses to the RFQ are due by 4:00 p.m. (MDT) October 17, 1994. All proposals must be submitted in a sealed envelope, clearly marked as RFQ #890-94 and delivered to the Boulder County Purchasing Office, 2045 13th St., Boulder, Colorado or mailed to Boulder County Purchasing, P.O. Box 471, Boulder, Colorado 80306. Any proposals received after the due date and time will be returned unopened to the proposer. No fax bids will be accepted.

The Board of County Commissioners reserves the right to reject any and all proposals, to waive any informalities or irregularities therein, and to accept the proposal that in the opinion of the Board is in the best interest of the Board and of the County of Boulder, State of Colorado.

Washington's Partnership Between the Police and Community Corrections: A Program Worth Emulating

by Sergeant Terry Morgan, Patrol Division, Redmond Police Department, Washington
and Community Corrections Officer Stephen D. Marrs, Washington State Department of Corrections

This article, which originally appeared as "A Partnership Program Worth Emulating" on pages 14-19 of the May issue of *The Police Chief*, is reprinted with the permission of the International Association of Chiefs of Police, 515 N. Washington St., Alexandria, VA 22314.

Community Corrections and Community Policing: New Partnerships

As more police agencies are adopting a community policing philosophy, police and probation agencies realize that they share common concerns. In particular, police and probation are concerned with monitoring the performance of probationers and parolees in the community. Both are interested in preventing further violations that result in criminal behaviors. New frontiers are being forged with police and probation/parole agencies working together in monitoring the activities and behavior of offenders in the community. The goal is to have both public safety agencies working together to improve the safety in our communities, prevent crimes, and assist offenders in constructive activities. In these agencies, the probation/parole and police agencies jointly supervise offenders in the community; the police provide the oversight when the probation/parole agent is not present. The following article, "A Partnership Program Worth Emulating," appeared in *The Police Chief* and provides an example of how one jurisdiction bridged the gap and increased communication between police and probation/parole agencies. Other jurisdictions are piloting similar concepts which use the community police officer to support correctional initiatives in the community including day centers, community service projects and community outreach efforts.

For more information about these types of programs, contact Faye Taxman at the Institute for Law and Justice (703-684-5300) or Rick Faulkner at the National Institute of Corrections (202-307-3106, ext. 138).

The Redmond, Washington Police Department (RPD), in partnership with the Washington State Department of Corrections, has implemented an innovative model program to assist in monitoring released offenders (known as community custody inmates or CCIs) who reside in the Redmond community. Nearly cost-free, the program has proved advantageous to both agencies.

Redmond is a city of 39,000 people, situated on what is locally known as King County's Eastside. A metropolitan area located across Lake Washington from Seattle, Redmond is bordered by Bellevue (population 88,000) Kirkland (population 40,000) and unincorporated King County. While Redmond, with 53 commissioned officers, has one of the lower officer-to-population ratios of any department in King County, it has traditionally enjoyed a relatively low crime rate.

The past three years, however, have seen a serious increase in crimes of all kinds, especially property crimes such as auto prowls and auto thefts. Once a rarity, violent crimes such as rape and robbery are becoming more common. Although the city is relatively affluent, Redmond's rapid growth has spawned a core of local criminals whose presence make the task of policing with limited human resources quite a challenge.

Four years ago, the department began a community policing program, with the entire department receiving training as the concept gained momentum. Patrol officers are assigned to their districts on a semi-permanent basis, and the department has implemented a problem-solving partnership approach to police work.

Developing a Unique Goal

In January 1992, the RPD confronted for the first time the effect of city-wide budget cuts. There was little chance of gaining approval for any idea or program that required additional funding or manpower; indeed, improving or even maintaining existing police services would be difficult. Despite the gloomy outlook, however, a goal emerged from this meeting that would have a very positive effect on policing in Redmond. This goal would be accomplished by creating a synergistic partnership between the RPD and the Washington State Department of Corrections (DOC) - two criminal justice agencies that, despite their widely different roles and missions, were uniquely interrelated. The program supporting this partnership - developed and implemented without significant cost or manpower requirements for either department - could be implemented in any size police agency.

Every year in Washington, approximately 800 convicted felons are released back into our communities under some form of state supervision. These people live in and routinely travel through every city in the state.

This is a high-risk group; within a year, 38 percent² will be arrested for another felony. Each of these arrests represents not only an additional burden on every part of the criminal justice system, but another crime victim whose trauma cannot be measured by mere statistics.

Nearly all of the convicted felons who have served time in the Washington penal system are placed under some

form of supervision by the DOC as a condition of their release. At the end of 1990, this population amounted to 9,615 persons.³

Most of the recently released felons living in Redmond have a long list of conditions by which they must abide. In addition, the community corrections officers have extensive powers of search and seizure when dealing with a supervised subject, and can issue their own arrest warrants for violations. Still, many CCIs violate their conditions with impunity simply because the DOC, like most criminal justice agencies, is understaffed. Further, unlike patrol officers, they are not out patrolling and responding to calls 24 hours a day, when they would be most likely to run into a CCI engaged in criminal activity or violating his conditions of release in some way.

It became apparent that, by working more closely with one another, the RPD and the DOC could complement each other's efforts and reduce the amount of crime in Redmond. One of the basic tenets of community- or problem-oriented policing is to create partnerships with other agencies - public or private - to help solve a problem.

What had been missing was a formal, routine system of information exchange between the police department and the DOC. The two departments had worked together sporadically in the past, and there had been some information exchange with the Redmond Police Investigation Division; unfortunately, however, rank-and-file officers didn't have a clue as to which CCIs were in the city at a given time. It was the exception rather than the rule when an officer's contact with a CCI resulted in a call to the subject's corrections officer.

With the established goal of improving the department's working relationship with the DOC, a sergeant and patrol squad were assigned as a team to develop a program that would fulfill this goal.

The team contacted the Bellevue office of the DOC and found that one of the corrections officers had been actively working with local police departments to foster better relationships. His supervisor was also very supportive of efforts

in this area. The team also learned about the Volunteer Community Corrections Monitor Program, which is a program to train police officers to assist in monitoring CCIs. A couple of Redmond detectives has been through the training, and the investigations division had used this program in a limited way to help monitor some of the convicted sex offenders who lived in Redmond.

A one-hour course would qualify an officer as a volunteer community corrections monitor, able to assist the DOC in monitoring offenders at their homes. Taking this into account, the team developed a two-part program for information exchange and offender monitoring.

The first component consisted of setting up a formal system of information exchange and follow up. Redmond officers were to document any contact they had with a person whose warrant check showed that he was under active supervision by the DOC. (An offender's supervision status is part of the information available through the Washington State Crime Information Center, which is accessed during a routine warrant check.)

The paperwork documenting the contact could be as simple as a 3x5 field interview card (FIR) or an arrest sheet. The department crime analyst, who receives copies of all police reports and FIRs, would make copies of anything showing a CCI contact; these reports would be forwarded weekly to the programs liaison community corrections officer at the DOC's Bellevue office.

Every documented contact would then receive follow-up. The reports would be forwarded from Bellevue to community corrections officers anywhere in the state, who in turn would investigate the incident to see if it constituted a violation. One possible scenario follows.

Subject X is stopped for defective tail lights as he exits a business park at 0300 hours. A warrant check shows that he is under active supervision by the DOC for burglary. No evidence of a crime is found, so the officer fills out an FIR, and the subject is released. In this hypothetical case, the subject is supervised out of nearby Everett, Wash-

ington, where he resides.

The FIR is forwarded through crime analysis, where it may also make the weekly crime information bulletin; it is then sent to the Bellevue DOC office and on to the Everett corrections officer, who discovers that X committed two documented violations: (1) he was not supposed to leave his county of residence; and (2) he was not supposed to be out past his 11:30 p.m. curfew. There is now a wide range of sanctions that can be imposed.

The second part of the program involves assigning officers to assist in the monitoring of CCIs who live in their patrol beats. This would be done only with those who are believed by the DOC and the police department to have a high probability of re-offending or who are out after committing a very serious crime.

One of the basic tenets of community- or problem-oriented policing is to create partnerships with other agencies - public or private - to help solve a problem.

To accomplish this part of the program, the entire patrol division was to complete the one-hour Volunteer Community Corrections Monitor training. All officers would thus contact someone under supervision to ascertain whether or not he was obeying the conditions of his release. If a violation were noted, the information would be forwarded to the subject's corrections officer. If the violation were very serious or required immediate attention, the DOC would be notified immediately, and a warrant would be issued. If a police officer who was also a volunteer community corrections monitor were to observe a criminal violation during a contact with an offender, normal enforcement action would be taken.

The program received administrative approval, and roll-call training was scheduled for all patrol squads. The same patrol sergeant and squad that had developed the program were selected to work with the Bellevue DOC

off ice to receive and disseminate information on recently released offenders who were taking up residence in Redmond, and to determine which ones would be assigned an officer for additional monitoring. The monitoring officer would be given a list of the offender's conditions, and the sergeant in charge of the program would keep a file on all offenders who were being monitored. This information would also be posted on a bulletin board in the squad briefing room to help other officers become familiar with the offenders in question.

With this synergistic partnership, both agencies achieve benefits neither could accomplish alone — without any additional manpower or equipment.

Monitoring would consist of one or two visits per month by the assigned officer, unless there was reason to believe the person was involved in criminal activity, in which case visits could be made more frequently. Phone calls could also be used where the subject had a curfew as one of his restrictions. The visits would be documented by the officer on a simple form called a contact log; at the end of the month, contact logs would be placed in each offender's file, with copies sent to the Bellevue DOC liaison officer. To avoid an unduly heavy toll on normal duties, no officer would be assigned more than two offenders to monitor at any one time.

Whenever an officer paid a visit to one of his subjects, a second officer would go along in order to familiarize as many officers as possible with each offender and his conditions of release. This way, with offenders known to everyone on the squad, there would be a much higher chance of detection if they chose to violate any of the conditions of their release.

Implementing the Program

Within a month of the program's implementation in October 1992, one of

the offenders being monitored moved to the neighboring city of Bellevue, telling his CCO that he wanted to get out of Redmond and end the police visits. Ironically, Bellevue adopted the same program about two months later, causing the subject to move to Spokane, where DOC follow-up on field interview reports eventually uncovered a serious violation.

In another case, two subjects from Cowlitz County who were under supervision for narcotics violations had been contacted in Redmond late at night. The two had violated their conditions of release by leaving their county of residence — a violation that would never have been discovered in the past.

A short time later, an RPD officer saw a subject emerge from between two apartment buildings near a popular foot path late one night. Finding his activities suspicious, the officer stopped the subject and interviewed him. A warrant check showed that the hostile, uncooperative subject was under active DOC supervision for rape. On his own initiative, the officer wrote a short report to the DOC liaison about the contact, and was immediately authorized to begin monitoring the subject, who was not supposed to be on any unsupervised walks after dark.

Copies of the officer's report went to the sentencing judge and the subject's counselor, and the subject was told that if he were uncooperative with the police again, much less found to be committing another violation, he would be sent back to prison. There has not been another incident with this subject.

Corrections officers who work out of the Bellevue office report that those offenders who are being monitored, as well as those who have simply been the subject of a field interview, are keenly aware of the level of police interest in their activities in Redmond.

A Partnership Now and for the Future

While law enforcement and corrections face ever-dwindling budgets, this program offers significant benefits for

virtually no cost. With this synergistic partnership, both agencies achieve benefits neither could accomplish alone — without any additional manpower or equipment. In fact, except for a modest investment in time, there is no cost to either agency.

The program ensures that officers are aware of those people residing in their patrol districts who have been convicted of serious crimes. This is a critical aspect of successful community policing. With offenders actually being held accountable for their post-release conduct, they have a greatly enhanced incentive to abide by the conditions of their release and avoid the negative behavior patterns that got them into trouble in the first place. This not only benefits the community, but helps those who truly want to make a successful integration back into society.

While the program is still too new for its benefits to be statistically demonstrated, there is a strong feeling in both agencies that a lower crime rate will be the proven result. That will mean fewer crime victims, as well as fewer man-hours spent investigating new crimes.

Since RPD's implementation of this program, the King County Policy Department (North Bend Precinct) and the Bellevue Police Department have received community monitoring training and are actively monitoring offenders in their communities; Kirkland Police Department has also requested the training. Each of these agencies has adopted the model established by Redmond.

With a minimum investment of time and training, your agency could be the next to institute this innovative program and realize the advantages of a close partnership with your state corrections agency.

Footnotes

¹ U.S. Department of Justice, *Sourcebook of Criminal Justice Statistics*, 1991, p. 694.

² *Ibid*, p. 438 (extrapolated from lists of community placement-eligible crimes).

³ *Ibid*, p. 694.

APPA President's Award Nominees - 1994

The Awards Committee of the American Probation and Parole Association has completed its review of the individuals and programs nominated for the Association's various awards. As one committee member puts it, "It's the best and hardest job in the organization." One of the things which made the selection process even more rewarding this year was the review of the nominations for APPA's newest award - the President's Award. This award, established in 1993 by the Board of Directors, provides recognition of "... those visionary organizations which have exemplified the management and innovations necessary to lead community corrections toward our future." Although there can only be one "winner," which is announced in the following Awards article, the committee felt that the membership should be aware of the types of programs nominated.

In all, 12 nominations were received; nine of the nominations, however, were from Los Angeles County, two were from New Jersey and one was from Pennsylvania (the committee wondered what happened to the middle of the country.) The programs nominated ranged from good, basic probation to some really innovative concepts. Some were highly structured programs which had been generated from the top, while others were the ideas of line officers

who sought and obtained organizational support to develop their ideas. Whatever they are, they all deserve the recognition which they are receiving.

1. The Intergenerational Program of the Los Angeles County Probation Department matches two teams of "hard core" juveniles from the department's Camp Afflerbaugh with handicapped older residents living at the Hillcrest Continuing Care Retirement Community. The volunteer youth and the Hillcrest residents gain a feeling of accomplishment as a result of these personal relationships. These youth also obtain work experience and academic credit for their efforts through the involvement of the Afflerbaugh/Paige High School. Other results are the increased self-esteem of the youth coupled with improvements in their general social and other skills. (Los Angeles County Probation Department; Intergeneration Program; Camp Afflerbaugh; 6631 North Stephens Ranch Road; La Verne, CA 91750; 909-593-4937.)

2. The Teen Court Diversion Program of the Northeast Juvenile Justice Center in Los Angeles (1601 Eastlake Avenue; Los Angeles, CA 90033; 213-226-8765) was developed by Judge Jaime R. Corral. The program is designed to provide a forum for first-time juvenile offenders charged with misdemeanors to be judged and sentenced by a jury of their peers. The first session was held during April 1993 at Wilson High School, and the program has proven to be an "... excellent juvenile diversion program that links students, parents, school, juvenile offenders, the court, probation and the community in a collaborative effort. ... It is a viable alternative to the traditional approach to ... delinquency."

3. The Electronic Monitoring Service Program of the Los Angeles County Probation Department (9150 E. Imperial Highway, Room A86; Downey, CA 90242; 310-940-2842) is a public/private partnership serving adult low-risk offenders. At no cost to the county, according to the available information, the program is less expensive than incarceration and more effective in reducing recidivism for some types of offenders than either jail or "ordinary" probation. The offenders pay fees directly to the private vendors, and a percentage of the gross revenues is returned to the probation department to subsidize the probation staff who oversee the program, and to offset the costs for indigent offenders.

4. The Gangs for Peace Program of the Los Angeles Probation Department (Camp Glenn Rockey; 1900 N. Sycamore Canyon Rd.; San Dimas, CA 91773; 909-599-2391) was designed and implemented by an entry level Deputy Probation Officer, Saul V. Salas. The program begins in the camp with youth from different gangs meeting to address issues such as education, ending gang violence, crime responsibility, family planning and AIDS awareness. Some of them become "youth counselors" who lead the meetings and then become mentors to other youth upon their release from the camp. Once released, the youth counselors also become involved with gang prevention and after-care type activities with the youth who remain incarcerated.

5. Maria Helena Diaz' Chaplains EAGLES is a Los Angeles Probation Department Program (San Fernando Valley Juvenile Hall; 16350 Filbert St.; Sylmar, CA 91342; 818-364-2001). EAGLES stands for Encourage Adoles-

Awards Committee Chairman

Ron Goethals
Director

Community Supervision & Correction
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cents to Grow, Learn, Excel and Share. This volunteer program draws on individuals from community organizations such as the Kiwanis and Optimists Clubs to provide services and counseling for youth housed in three juvenile halls and 15 camps. The Love Gift Program, which provides personal items for youth who are needy or who ask for them, is only one aspect of the Chaplains EAGLES. Another critical need was met by arranging volunteer medical treatment for gang tattoo removal.

6. The Arts and Children Project is the Los Angeles Theater Works' cornerstone community outreach program (Gail Cohen; 681 Venice Blvd.; Venice, CA 90291; 310-827-4949). By engaging professional artists to work as resident artists with incarcerated youngsters in Juvenile Court and Community School classrooms, the program strives to "... enhance basic learning of all kinds through active participation in the creative process; ... provide tools for the development of positive life skills, self-concepts, self-expression and self-discipline; ... emphasize the students' ability to play a positive role in society." After 10 years, the program has worked with almost 60,000 incarcerated students in the 44 court school sites.

7. The Independent Study Occupational Training Program of the Los Angeles County Probation Department (1330 W. Imperial Highway; Downey, CA 90044; 213-418-3101) is a collaborative effort of that department with the Division of Alternative Education of the Office of Education and the Special Services for Groups. This fully accredited high school program, with a pre-vocational training element, is held on-site in two probation offices. Probationers volunteer for a weekly one-to-one Independent Study Program. After they reach 16, they are also involved in a vocational component which runs two hours daily for 10 weeks. This highly flexible program, while allowing the probationer to progress at his/her own rate of development, leads to "real" job

training. The program's completion rate is about 40 percent.

8. The Mediation & Restitution Services Program of the Los Angeles County Probation Department (1330 W. Imperial Highway; Downey, CA 90044; 213-418-3101) is administered by the city of Inglewood's Employment Development Department. It is designed as an alternative disposition to hold first and second time juvenile offenders accountable at a community level. The majority of cases involve "tagging" by 11- to 17-year-old youth. All participation in the program is voluntary; it consists of a trained volunteer mediator hearing the "story" from both the offender and the victim. A written agreement is signed by all parties specifying the repayment, community service hours, etc. Involvement of parents/guardians is critical to the program.

9. The Graffiti Abatement Block Grant Program of the Los Angeles County Probation Department (9150 E. Imperial Highway, Room A64; Downey, CA 90242; 310-940-2874) uses juvenile probation work crews from the Juvenile Alternative Work Service (JAWS) to remove graffiti from public buildings, walls, etc. Private property is handled on a first-come, first-served basis, and all work - both private and public - is performed at no cost to the owners/tenants. During 1992-93, 253,127 square feet of graffiti was removed which represented 211 percent of the program goal. The program also has unanticipated spin-offs, particularly in the gang areas where the JAWS crews work under gang scrutiny but without gang interference. This very visible program receives a great deal of support from the communities served.

10. The Lehigh County Special Program for Offenders in Rehabilitation and Education (SPORE) is a joint program of the Adult Probation and the Mental Health/Mental Retardation Departments of Lehigh County (Richard A. Kipp; 136-150 S. Fourth St.; Allen-

town, PA 18102-5445; 610-820-3138). The multiple goals of this ISP-type of program include the screening and evaluation of mentally retarded/severely and persistently mentally ill and sex offenders; their supervision within the criminal justice system (pre- and post-adjudication); the reduction of this population's reliance on public assistance programs through the provision of education and job training; the reduction of recidivism of this population while under supervision; and the clarification of the problems/issues related to this population through education and research, including the sensitization of the criminal justice system and the general public.

11. The Intensive Supervision Program (ISP) is a component of the Probation Service Division of the New Jersey Administrative Office of the Courts (Robert Lipscher; R.J. Hughes Justice Complex, CN-037; Trenton, NJ 08625; 609-984-0275). The goals of this statewide program are to reduce the number of offenders serving state prison sentences; to improve the utilization of correctional resources by making additional bed space available for violent criminals; and to test whether or not supervising selected offenders in the community is less costly and more effective than incarceration. With caseloads consisting primarily of drug and property offenders, ISP has successfully reached these goals by providing a highly structured and rigorous form of community supervision involving extensive client contact, surveillance which includes the use of electronic monitoring, a restrictive curfew, urine monitoring for alcohol and drugs, treatment and education.

12. Morris County Probation Services (Jude Del Preore; P.O. Box 900; Court House; Morristown, NJ 07963; 201-285-6596) was nominated for four of their programs:

- *School Talks on Prevention (STOP)* is a primary prevention program designed to deliver a clear message to youth ... to recognize, understand and obey the laws of society and that ... delin-

quent behavior (does) have real, punitive consequences." The program tracks are shoplifting, vandalism, substance abuse, bias and hate incidents, and juvenile justice system information. Teams of probation officers give school presentations (K - 12th grade) as well as deliver their message to religious, civic and youth groups throughout the county.

- *High Impact Probation (HIP)* is an intermediate sanction which provides maximum rehabilitation efforts to probation violators. It also provides for increased control of this population; offers the judges a viable sentencing alternative; and ensures a rapid return to court for those probationers who continue to violate their terms of probation.

- *Financial Obligation Recovery Effort (FORCE)* was begun in 1990 and

is an adjunct service to other probation supervision activities by providing an efficient and effective mechanism to collect all monies owed to victims or the system. It not only successfully separates collection from other probation requirements, it also serves as the link between probation and a special Enforcement Court similar in concept of Miami's Drug Courts but geared to the collection of offender debt.

- *Probation Assisted Supervised Sanction (PASS)* is an intermediate sanction used with juveniles who have been substantively non-compliant with court orders. Program emphasis is on rehabilitative projects and positive social interactions among the juvenile, the probation staff and the community. Program results include the provision of needed

services to the community, the provision of a valuable multi-cultural experience, and the generation of education experiences in terms of learning about responsibility and team cooperation.

The Awards Committee members were pleased with these submissions for the first year of the awards. They do feel, however, that some clearer guidelines are needed and will be working on this in time for the 1995 awards. It is also critical to encourage nominations from all of the Association's membership, as the 12 programs nominated this year are worthy of national attention but are only the beginning of an exciting and challenging journey. This award is for those who dare to dream . . . and risk.

Call for Presenters

American Probation and Parole Association 20th Annual Training Institute Dallas, Texas • September 1995

The *American Probation and Parole Association (APPA)*, together with the *Texas Corrections Association (TCA)*, is pleased to issue a call for papers and presenters for the 20th Annual Training Institute. The Institute is scheduled to be held in Dallas, Texas in September, 1995. Institute participants include community supervision and corrections personnel, the judiciary, treatment providers, criminal justice researchers and others interested in the field of community justice.

Presentations may be related to the following topics:

- Community Justice Initiatives and Innovations
 - Empowering Staff to improve the Community Supervision and Corrections Process
 - Program Specializations in Community Supervision and Corrections
 - Technological Innovations
 - Population Diversity and Community Corrections Supervision Strategies
 - Sentencing Strategies/Sentence Matching and the Judiciary
 - Community Supervision and Corrections in Texas
 - Multi Agency Collaboration/Interdisciplinary Participation in Community Supervision and Corrections
 - Consumer-Driven Community Supervision Programming
 - Post-Incarceration Supervision Strategies
 - Juvenile Justice Sentencing and Programming Strategies
- The suggested topics are not all-inclusive. Other topics relat-

ed to the field of community supervision and corrections are acceptable.

Submission Guidelines - Persons wishing to be considered for conducting a presentation at the 20th Annual Training Institute should forward a one-page summary of the proposed topic. The summary should include a presentation title, along with the names and complete mailing address of all proposed faculty. Summaries need to be received no later than November 18, 1994. Presentation summaries may be mailed or faxed to:

Mickey M. Neel, APPA Program Chair
209 West 14th Street, Suite 400
Austin, TX 78701
Phone: (512) 305-9365
Fax: (512) 305-9368

The one-page presentation summary should be accompanied by a brief resume or vitae on each presenter. Ideally, a presentation panel should consist of two to four persons. Annual Institute program track committee members will contact the person who nominated the workshop(s) to indicate their selection for the Institute. Please note that it is the APPA policy that, regrettably, expenses and fees associated with participation cannot be reimbursed.

Please call Mickey M. Neel at (512) 305-9365 if you require additional information regarding this call for papers and presenters.

1994 APPA Awards

The annual awards of the American Probation and Parole Association were presented during APPA's 19th Annual Training Institute in Phoenix, Arizona, September 11-14, 1994.

Congratulations to the Award recipients in recognition of their contributions and dedication to the probation and parole profession.

President's Award

In 1993, the American Probation and Parole Association established the President's Award to recognize exemplary community corrections programs which serves to advance the knowledge, effectiveness and the integrity of the system. APPA acknowledges the growing responsibilities of the profession in meeting ever present demands by celebrating the successes of our constituents. Successes are the product of collaboration, team work and organizational spirit. To this end, this award recognizes visionary organizations that have exemplified the management and innovations necessary to lead community corrections into the next decade.

APPA congratulates Lehigh County's Special Program for Offenders in Rehabilitation and Education (SPORE) on being the first recipient of this prestigious award.

SPORE is truly a collaborative effort between the county office of Mental Health/Mental Retardation, Probation/Parole, Department of Corrections, and the court. In most cases, mentally disabled offenders pose significant difficulties for both treatment and

criminal justice communities. An intra-departmental approach has been developed in Lehigh County, Pennsylvania (1986) to address the needs of seriously disabled individuals in an effort to reduce recidivism, incarceration, and institutionalization through intermediate sanctions and intensive probation and mental health/mental retardation case management. This is accomplished via formal intra-agency agreements and funding and affords a unified approach to access services historically restricted to individual county departments. Prior to this cooperative effort, the local criminal justice system did not have an on-site treatment component designed to deal with the immediate needs of individuals due to confidentiality restrictions. Since the inception of this approach, recidivism rates of this population have been reduced dramatically.

Goals for 1994 include reducing the recidivism rate and the length of detention for SPORE clientele, increasing employment and use of day programs by clients, and increasing professional awareness of the special needs of clientele. In addition, securing a mental health caseworker for juvenile offenders for the development of a SPORE juvenile component is being pursued. A continuing goal is to assist in the creation of a secure residential placement facility for the severely dysfunctional offender within the criminal justice system.

This program has sensitized law enforcement, the courts, probation/parole, Department of Corrections and the treatment community-at-large to the needs of the special offender. This has been accomplished to the point that the Pennsylvania Alliance for the Mentally Ill has given the SPORE program a seat on its forensic committee. The program has sensitized the judiciary to special needs citizens and is continually utilized as a resource for the court for evaluation, classification, recommendations and education.

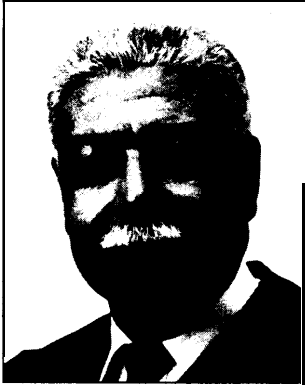
The added benefits of very low recidivism coupled with a high rate of employment have ultimately led to the ongoing success of the SPORE program. This program may be utilized as a model program which would greatly enhance and contribute to the field of community corrections. There is a clear correlation between goals and effect. Quite clearly, this program is known for its therapeutic and supportive nature.

University of Cincinnati Award

The University of Cincinnati Award is not a practitioner award. It is presented to an individual who has made significant contributions to the probation and parole field or technology. Recipients



SPORE program members. Seated front row, left to right are: Sandra Farkas, Clerical Specialist; Ann Marie Egizio, Supervisor; Mary Breidinger, Probation Officer II. Seated on second row, left to right are: Jeffrey Hunsicker, Mental Health Specialist/Director of Forensic Services; Brian Schmoyer, Probation Officer; Kishorkumar Dedania, Psychologist; John Brobst, Mental Health Case Worker. Missing from photo are: Timothy Duda, Senior Case Worker and Robert E. Wisser, Psychologist.



Judge H. Randolph Moore Jr.

typically are individuals from an academic research or government agency not engaged in providing probation and parole services.

This year's recipient is Judge H. Randolph Moore Jr. of the Superior Court of Los Angeles, CA.

Judge Moore is deeply interested in and totally committed to seeing that children obtain a quality education. To really understand and appreciate the contributions he has made to the juvenile court system of the state of California and nationally, his career on the juvenile bench must be reviewed (23½ years; 18 years in juvenile court). Judge Moore, while presiding judge of the juvenile courts of Los Angeles County, in 1982, 1983, and 1984, promulgated several programs that are still operating in Los Angeles County. He is responsible for the JAWS Program (Juvenile Alternative Work Sentence) which instills discipline and a work ethic in young people; and the ARAD (Arraignment, Report, Adjudication, Disposition) process which won national recognition for innovative programs for Los Angeles County in 1984.

In 1985 Judge Moore returned to the Juvenile Justice Center in South Central Los Angeles at his own request and has chosen to remain in the Los Angeles County Superior Court's Juvenile Departments every year thereafter. He is responsible for starting the juvenile citation process which was adopted by the District Attorney and is used countywide; he is a member of the South Central Advisory Committee, which eight years ago initiated a series of programs designed to aid the young people served by the Justice Center.

Judge Moore constantly oversees wards' grades and attendance in school and has even provided his own tutoring services to some. Since he does not have the time to personally help all, he started a tutorial program called TUTORIAL PLUS over five years ago. Judge Moore persuaded the Los Angeles County Office of Education to give him funds for a school. A plot of county-owned land was obtained and the county schools built a Community Day Center. The school began in 1991 and at the request of the California State Office of Education this operation has been showcased to educators from all over the state and nation.

Judge Moore has been instrumental in obtaining training and jobs for many young men and women through programs such as IMPACT (California National Guard), the Los Angeles Conservation Corps and the Century Freeway Project. Judge Moore's newest venture, designed to make parents more aware of what is going on with their children and their schools, is to order the parents to join the PTA, attend monthly meetings and report to the him when the wards present their progress and grade reports. Non-compliance can be dealt with as contempt of court.

Judge Moore is constantly involved in non-work related community affairs. He visits schools, churches, social clubs and other

organizational meetings to speak about the dangers of crime, drugs, loss of values, the disintegration of the family unit and the lack of basic education.

Sam Houston State University Award

The Sam Houston State University Award is the newest APPA practitioner award, first given in 1986. This award is for an individual who has published an article concerning probation, parole, or community corrections which provides new information and insight into the operation, effectiveness, or the future of the community corrections profession. For such recognition an article must have been published in a national or regional journal.

Chief Probation Officer, Andrew Klein, of the Quincy (MA) District Court Department, is the recipient of this year's Sam Houston Award.

Mr. Klein has made significant contributions to the probation profession at the local, state and national levels during his seventeen years of dedicated service to the Quincy District Court, the Commonwealth of Massachusetts and the probation service nationally.

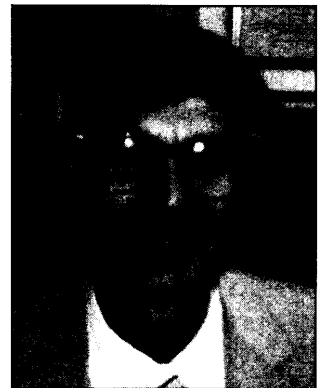
Locally, Mr. Klein has transformed the Quincy District Court Probation Department into the most pro-active department found in Massachusetts. The department has been hailed as innovative in many fields including: electronic monitoring of house arrest; on-site drug testing (including hair tests); intensive probation supervision program for juveniles; and the compilation of a comprehensive study of offender characteristics of batterers.

On the state level, Mr. Klein in conjunction with the Honorable Albert Kramer (ret.), developed a drunk driving program that was adopted as a state model and a domestic violence program that was adopted as a statewide model and recognized as a national model.

Nationally, Mr. Klein is a frequent presenter at conferences around the country on topics such as substance abuse, restitution programming, domestic violence and alternative sentencing.

Mr. Klein is a presenter at APPA sponsored conferences and a frequent contributor to Perspectives. He is the author of Alternative Sentencing, A Practitioner's Guide; Spousal/Partner Assault: A Protocol for the Sentencing and Supervision of Offenders and Pursuing Probation Revocations, A Hands on Guide for Professionals. Numerous articles, by Mr. Klein, have been published in the *Judge's Journal* of the American Bar Association.

In trying to change the way probation and probation officers are perceived, Mr. Klein has been viewed as a rebel by critics. Mr. Klein's approach to restitution programming, alternative sentencing, drunk driving and most recently domestic violence, though once controversial, are now the accepted norm.



Andrew Klein

Walter Dunbar Memorial Award

The Walter Dunbar Memorial Award is the oldest APPA practitioner award. It is presented in honor of one of APPA's most distinguished colleagues, the late Walter Dunbar, who served as Director of the California Department of Corrections, Chairman of the U.S. Parole Commission and Director of the New York State Division of Probation. The award is presented for significant contributions by a practicing professional or a retired practitioner in the field of probation and/or parole.



Donald G. Evans

This year's recipient of the Walter Dunbar Memorial Award is no stranger to APPA members. Donald G. Evans served on APPA's Executive Committee for six years as President-Elect, President and Immediate Past President of the Association from 1987-1993. During his tenure as a member of the Executive Committee, he chaired several committees including the National Narcotics Intervention Task Force which developed a training curriculum that was delivered to

hundreds of probation and parole officers across the country. Additionally, with Mr. Evans' support, this project provided technical assistance to over 25 probation and parole agencies nationwide.

Mr. Evans' career in criminal justice has spanned more than 40 years. Mr. Evans has received the American Correctional Association's (ACA), E.R. Cass Award, and the International Association of Residential and Community Alternatives' (IARCA), Margaret Mead Award. He has contributed immensely to these organizations, and his contributions to the field of probation and parole and the American Probation and Parole Association (APPA) have been outstanding.

The notion of ensuring that probation and parole activities maintain an appropriate community focus has been supported by Mr. Evans. During one keynote address he challenged the audience to answer the question, "Are we community-based, community-run, or are we indeed merely an institution that has been community-placed?" This community-based focus has become the ultimate goal for many progressive agencies.

Mr. Evans recognized that agencies could not stand still and expect to survive. He implores them to try new innovations and to stay alert to effective management philosophies and new, but appropriate, technologies. A practicing futurist, Mr. Evans has prognosticated many of the forces that are affecting community corrections today. He urged new learning, a theme that has become a hallmark feature of one of APPA's predominant organizational goals.

Mr. Evans reads extensively for the purposes of continuing his education and advancing the capacity of today's systems to be more responsive to the needs of criminal justice professionals throughout North America. Having written extensively for *Perspectives*

and *Corrections Today*, his writings not only provide clear guidance for the direction the community corrections profession should take, but they also offer the picture of a man who understands the many challenges the profession faces and who is understanding of human frailties.

Working as an advocate for probation and parole and the Association, Mr. Evans has given countless speeches. He motivates his audience by challenging them to consider the previously unconsidered and do the seemingly undoable.

Scotia Knouff Line Officer of the Year Award

The most competitive, and perhaps the most prestigious, practitioner award is the Scotia Knouff Line Officer of the Year Award. This award is given to a probation, parole or community corrections officer who has performed assigned duties in an outstanding manner and/or made significant contributions to the probation, parole, or community corrections profession at the local, regional or national level and/or brought credit or honor to the profession through participation or involvement in community activities or programs.

Congratulations to Christine Macomber on receiving this year's Line Officer of the Year Award. Ms. Macomber has been with the Hunterdon County Probation Department in New Jersey for six years. During her tenure with the department, she advanced from an investigator to probation officer within two years.

Ms. Macomber has been in the forefront of safety training for various probation divisions throughout the state. She is the chairperson of the Hunterdon County probation division's safety committee, and a certified trainer in Nova Defense Systems Officer Safety Training Phase One: Defensive Tactics Training. She has invested an enormous amount of work and time into this training program in which she serves as a trainer. Ms. Macomber's personal commitment to the safety of her fellow officers is shown by her enthusiasm for this program and her willingness to train in any county. She has assisted in training 180 probation officers across the state of New Jersey.

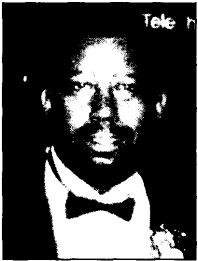


Christine Macomber

Ms. Macomber performs above and beyond the expected duties of a probation officer by personally extending herself and her services to the adult client population and other officers. Despite significant time constraints she always has a compassionate ear and sincere desire to rehabilitate those under her supervision. It is not uncommon for her to provide as well as assist clients with direct service needs, such as food and transportation. She goes above and beyond what is required in attempting to show support for her clients by attending graduations from inpatient drug rehabilitation programs and celebrating their sobriety anniversaries, on her own personal time.

Scotia Knouff Line Officer of the Year Award Nominations

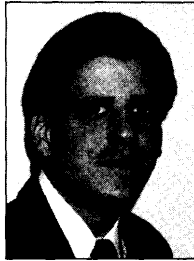
The American Probation and Parole Association would like to give special recognition to everyone who was nominated for the Scotia Knouff Line Officer of the Year Award. Their outstanding commitment and contributions to the fields of probation and parole have made a difference.



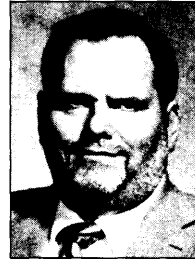
Frederick L. Banks
Supervising Deputy Probation
Officer
Los Angeles, CA



Jeannette Haskins
Probation Officer III
Georgetown, CO



Frank M. Petrone
Gang Specialist
Chicago, IL



Roger Tobey
Supervising Deputy Probation
Officer
Los Angeles, CA

Photo not available:

Eva D. Grote
Probation Officer
Parker County, TX

John Hartley
Probation Officer I
Essex County, NJ

Sam Olson
Parole and Probation Officer
Medford, OR

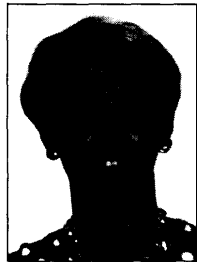
Mary Ridgway
Deputy Probation Officer III
Los Angeles, CA

Saul V. Salas
Deputy Probation Officer II
Los Angeles County, CA

Russell Walker
Deputy Probation Officer I
Los Angeles County, CA



Cheryl J. Belcher
Senior Intensive Supervision
Officer
Richmond, VA



Julie A. Jones
Senior Probation Officer
Lincoln, NE



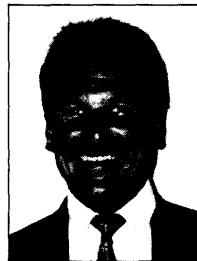
Earnestina 'Tina' Pizana
Juvenile Probation Officer
Brownsville, TX



Lawrence J. Vangor
Special Projects
Los Angeles, CA



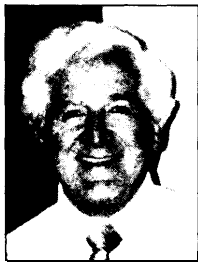
Ric Bergey
Parole and Probation Officer
Albany, OR



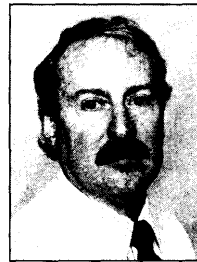
Derrick Knott
Adult Probation Officer III
Phoenix, AZ



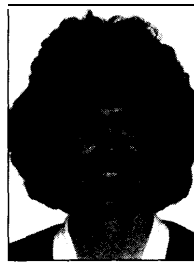
Daniel J. Riccardo
Senior Parole Officer
Clifton, NJ



Michael R. Carleo
Parole Officer
South Nyack, NY



Frank J. Kroll
Probation Officer
Syracuse, NY



Judy L. Riddle
Probation Officer
Lincoln, NE

Awards Nomination and Selection Process:

The APPA Awards Committee issues a "Call for Nominations" in January of each year. The Call for Nominations is placed in the APPA publication, Perspectives, which is provided to each member of the American Probation and Parole Association. A copy of the "Call for Nominations" is mailed to each Regional Director and each member of the Executive Committee of APPA. Nominations must be sent to the Chairman of the APPA Awards Committee in written form by the end of April. Copies of nominations are sent to APPA Awards Committee members for evaluation, and winners are selected by the end of May.