



American Probation and Parole Association

Fall 1995

PERSPECTIVES

Mental Illness in Community Corrections:



A Problem Too Serious To Ignore



Alan M. Schuman

PRESIDENT'S MESSAGE

It is difficult to realize that I have served as your President for two years. These have been two of the most exciting years of my career. Thank you for your complete support, dedication and participation.

We at APPA are very fortunate to have Rocco Pozzi as our next President. Rocco has demonstrated outstanding leadership in his capacity as President-Elect and as Commissioner of a major probation department. I look forward to serving as Immediate Past-President under Rocco.

With our common commitment to community corrections, we have reached my platform goals to involve our broad membership in the decision making process of APPA, to build on the concept of a consortium of community corrections working as a unified collaborative voice, and to create a unified mission and vision that will steer APPA's future direction. Let us reflect on our accomplishments of the last two years.

Comprehensive APPA Membership Involvement

More than 2,000 of our membership participated in one- or two-day workshops that addressed the task to create and implement a Vision for APPA. By creating both agency and corporate memberships, we have extended our community corrections profession to more of our colleagues. Our successful effort to create an action plan that swiftly accesses members of Congress and state legislatures has been a major accomplishment. We now have a system as well as a staff member who is designated to assist our association members in influencing national, state and local legislators. This is of major importance given the current emphasis to shift the control of funding for corrections from the federal to the state level.

Despite the dwindling of available financial assistance from agencies, ever increasing attendance at our two winter meetings held in Cincinnati and Charleston, and our annual conferences in Phoenix and Dallas, is evidence of the involvement and dedication of our membership. Phoenix reported the highest attendance at an annual conference in the history of APPA. Although the numbers are not yet in, the Dallas conference should surpass that figure. This certainly looks like commitment to me!

Broad Community Corrections Collaboration

APPA and the Association of Paroling Authorities, International (APAI) contracted with the Center for Effective Public Policy to research the problem and prepare a report to counteract some of the blatant and damaging misconceptions about criminal sentencing in this country. The document, *Abolishing Parole: Why the Emperor Has No Clothes*, clearly and concisely makes a cogent statement to the importance of parole in the continuum of community corrections. This is a perfect example of the potential power and importance of collaboration.

Our annual conference in Dallas kicked off a new partnership with federal criminal justice agencies. We instituted a training track featuring workshops led by staff from federal agencies that play a significant role in enhancing community corrections. Our collaboration and partnership with the federal government has never been better. Similar workshops will be a regular feature at our national conference.

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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:

Spring 1996 Issue **December 12, 1996**

Summer 1996 Issue **March 20, 1996**

Fall 1996 Issue **June 21, 1996**

Winter 1997 Issue **September 20, 1996**

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.

PRESIDENT'S MESSAGE

from page 2

APPA has embarked on a joint venture with the National Coalition for Mental and Substance Abuse Health Care in the Justice System. Our goal is to identify and develop resources to serve the juvenile and adult probation and parole populations who suffer from mental illnesses. This is a forgotten group that needs our assistance. This endeavor represents APPA's commitment to build more comprehensive partnerships.

APPA has worked closely with the newly formed National Association of Drug Court Professionals to help influence Congress to fund that portion of the Omnibus Crime Bill designated for court-supervised drug treatment programs. Our collaboration has had a positive impact on federal legislators. We have also been working with a large national consortium of substance abuse treatment professionals in an effort to encourage Congress to support the crucial prevention and substance abuse aspects of the Crime Bill. We have developed new partnerships that will be the nucleus for future community justice collaboration efforts. We are in a position to have a significant voice in future legislation that impacts on community corrections.

APPA's recognition and initiatives to provide more effective services to victims of crime has increased our credibility and partnerships with the citizens of our communities. Community justice can only be accomplished with a broad understanding and commitment from our citizens.

In the last year, the National Coalition of Community Corrections Associations has been created. We have committed to four meetings each year. Our focus will be to provide a strong and united front when addressing national issues that impact community corrections.

Implementing the Vision

I have outlined the involvement of APPA's members in the development of our Vision. The difficult and most excit-

ing challenge of implementation lies ahead.

We have made great strides in the past six months. Our annual conference in Dallas included workshops that addressed our vision statements. We have shared our vision concepts with many agencies and associations, and some have adopted our vision elements into state and local agency strategies. The leadership of APPA uses every public opportunity to present our precepts and concepts. I encourage every APPA member to do the same.

This year we completed several major projects that relate to the future of community corrections. A previously funded NIJ grant addressing outcome measures has culminated in a recently published APPA document entitled, "Results-Driven Management: Implementation of Performance-Based Measures in Community Corrections." Another document, "Restructuring Intensive Supervision Programs - Applying What Works," is an outstanding product that supports and promotes community corrections. Our new Teen Court project has been very successful and has been funded for Phase 2. Both a family resource manual and a community involvement handbook are very near completion. All of these accomplishments bring us closer to the reality of our Vision.

These are the highlights of our accomplishments over the last two years. It has been a series of highs, thanks to you. I am completely optimistic about the future of community corrections. We are making a significant difference. With our help, legislators will realize that a broad, balanced approach to corrections is the only sound strategy to follow. Then, our impact will be even greater. Let us be ready!

I will continue to devote my energies to APPA and to my goal to pass a national Community Corrections Act.

Thanks again! □

Letter from the Editors

by Robert E. DeComo, Chairman, Editorial Committee

Welcome to the Fall 1995 issue of *Perspectives*. In introducing this issue I would like to first point out that it includes the announcement of APPA's newly elected officers who assumed their responsibilities for the next two years at the close of the Annual Institute in Dallas.

With this issue we have departed from our usual regular features to allow for extended coverage of the numerous responses APPA has received regarding two of its most recent and important publications. This issue's FORUM presents some of the many letters APPA has recently received, particularly in response to its report entitled, *Abolishing Parole: Why the Emperor Has No Clothes*. We have devoted the rest of our space for regular features to responses APPA has received regarding its Vision statement. It is our intention to cover state and local efforts to implement the Vision statement in this new regular feature, entitled "Vision adVentures."

Turning to our special features, the first for this issue is entitled, "Reinventing Rehabilitation: Exploring a Competency Development Model for Juvenile Justice Intervention," and has been submitted by Professors Gordon Bazemore and Peter Cruise of Florida Atlantic University. Their model is offered in response to recent trends toward a retributive paradigm for the juvenile justice system intended to replace the historical treatment mission in this field. Their paper outlines components of a competency development model which they characterize as a holistic model of offender rehabilitation and which they offer as a part of a larger agenda for juvenile justice reform.

The second special feature has been contributed by myself and several colleagues at the National Council on Crime and Delinquency, Chris Baird and Dr. Dennis Wagner. Our article sum-

marizes the results of two community corrections evaluation studies we completed last year in Oregon. We felt it was important to disseminate these results for two reasons. First, these studies demonstrate the effectiveness of community corrections policies and programs in that state. Second, their results underscore the importance of research and development since these studies provided direction for improving community corrections policies and programs in Oregon. As demands on our correctional systems increase, it is our view that research and development will help our systems respond intelligently by creating new ideas and directions.

This issue contains two studies about the prevalence of mental illness among offenders under various forms of correctional control. Understanding the number and characteristics of these offenders is an important first step in developing effective correctional programs and other crime control strategies for this especially challenging group of offenders.

In the first article, Dr. Harry Boone presents the results of a national survey of probation and parole agencies on the prevalence and handling of mentally ill offenders. Dr. Boone reports the results of this landmark study conducted cooperatively by APPA and the National Coalition for the Mentally Ill in the Criminal Justice System. He concludes the article with recommendations for developing a community mental health treatment model for these offenders.

The second article, by Drs. James Byrne and Faye Taxman, provides an overview of the issues facing policy-makers and corrections practitioners in fashioning strategies to handle these offenders. Their article discusses the issues of: 1) defining the population; 2) determining the size and characteristics of this

population and the measurement difficulties presented by them; as well as 3) the critical elements for effectively handling these offenders in community corrections programs.

Our last special feature has been contributed by Gerald Dash, Executive Director of Volunteers in Prevention, Probation and Prisons, Inc. in Detroit, Michigan. His article recounts the recent history of the volunteer movement in corrections and identifies resources that are available to agencies wanting to develop volunteer programs.

In closing, we encourage you to send us your comments and contributions and particularly welcome submissions regarding your experiences in implementing APPA's Vision Statement.

Robert E. DeComo

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FORUM

Minnesota Critical of "Abolishing Parole" Report

We have recently reviewed the American Probation and Parole Association/Association of Paroling Authorities, International publication entitled "Abolishing Parole: Why the Emperor Has No Clothes." It is clear that the publication is directed towards policymakers who are erroneously determining that getting tough on crime means ending supervision or parole. In reality, supervision of offenders after incarceration is crucial to the safe reintegration of offenders into the community. The publication is very misleading, however, in the section "What are the Real Issues" on page 11. On that page, a chart with data taken from the U.S. Department of Justice, Bureau of Justice Statistics press release dated October 27, 1994, contrasts the Minnesota's incarceration rate with Texas' incarceration rate and relates these rates to toughness of sentences. This comparison has absolutely nothing to do with toughness of sentences. In fact, an evaluation completed by the Minnesota Sentencing Guidelines Commission shows that actual time served in the state of Minnesota exceeds time served in the state of Texas for representative crime types. The statistics prepared by the Minnesota Sentencing Guidelines clearly point out Minnesota has tougher mandatory sentences than all 34 states responding to a national survey including Texas. The fact that Minnesota has a sentencing guideline system and incarcerates fewer per capita than Texas, does not measure which states have the longest terms of imprisonment. It is also important to note that Minnesota's violent crime rate is the thirty-seventh lowest in the nation, while Texas ranks fourteenth highest according to FBI reported crime data.

Further, Minnesota does not release individuals at the original mandatory minimum release date if they have been directed to complete programming or treatment within the institution and have failed to do so. Other violations of the

inmate discipline plan also result in longer incarceration time.

While Texas has demonstrated extremely lengthy sentences, historically inmates actually serve a fraction of sentence in the institution. Information I received at the meeting for Parole Board Chairs in September in Chicago suggests that this practice may have changed, however, actual statistics on that phenomenon are not available at this time.

It is totally inaccurate to infer that because Minnesota has abolished parole, inmates are released without supervision following incarceration. In Minnesota the Office of Adult Release carefully reviews every release plan prior to an individual's being released, making sure that conditions of the release assure the greatest degree of public safety and supervision as is required by the individual case. Minnesota uses some of the most intensive supervision strategies available as exemplified by the Intensive Supervised Release Program for offenders identified as needing greater supervision, as well as halfway house programming and electronic surveillance. While we no longer use the word parole, a supervised thoughtful process is used which takes into consideration an offender's prior record, current commitment offense, institution behavior and program completion at the time of their release.

Minnesota also faces yearly challenges with an ever-growing emphasis upon get-tough legislation. The Minnesota Department of Corrections already has some of the longest actual sentences in terms of time served in the nation. Misleading information, such as the comparisons drawn on page 11 of the report, has the potential of having policymakers react by creating even longer terms of imprisonment for offenders including property and drug offenders.

While Minnesota has one of the lowest prison incarceration rates per capita in the nation, only six states have more adult probationers per 100,000, according to the Bureau of Justice Statistics. Further, in overall sanctions including

probation and county jail sentences, Minnesota ranks twelfth.

By inaccurately portraying Minnesota as a state that by abolishing parole is less punitive than other states with parole, you suggest that the Minnesota system is ineffective in dealing with crime and should not be perceived as being tough on crime. In these times when "getting tough on crime" is a popular way to achieve political support, it is damaging to make such erroneous references. We believe that our system contains the important elements of mandatory treatment, mandatory compliance to rules of the institution and mandatory supervision in the community.

Using Minnesota, as was done in the publication, suggests that our system is not as effective as those that are burdened with horrendous crowding of prisons by incarceration of property offenders when more creative intermediate sanctions are readily available. It is our position that this matter must be clarified to all readers of the publication and are extremely hopeful that this clarification will be made in the very near future.

Robert E. Harrell
Office of Adult Release
Minnesota Department of
Corrections

Got An Opinion or Idea? Write to FORUM!

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

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"Abolishing Parole" Author Responds to Minnesota's Critique

This letter is in response to your correspondence regarding *Abolishing Parole: Why the Emperor Has No Clothes*. One of the purposes of the document was to engender informed discussion about sentencing and parole, and to discourage precipitous changes in sentencing structures without considering the lessons of experience.

The most serious issue you raise has to do with the contrast drawn between Minnesota and Texas, stating that, "The fact that Minnesota has a sentencing guidelines system and incarcerates fewer per capita than Texas, does not measure which states have the longest terms of imprisonment." You go on to observe that, "By inaccurately portraying Minnesota as a state that by abolishing parole is less punitive than other states with parole, you suggest that the Minnesota system is ineffective in dealing with crime and should not be perceived as being tough on crime."

The point of the comparison between the incarceration rates of Minnesota and Texas was not to measure which states have the longest terms of imprisonment, nor was it to conclude which had adopted a more effective crime control strategy. Indeed the report neither mentions nor supports either of these conclusions. It was simply to make the point that abolition of parole does not necessarily equate to more imprisonment, nor does the existence of parole equate to less use of imprisonment. To make this point, the comparison between Texas and Minnesota was a logical one. In the year's data that was cited, only one state had a lower incarceration rate than Minnesota—one of the earliest states to abolish parole—and none had a higher rate than Texas. This was an important point, since a frequent rallying cry against parole is that abolition will assure that more time is served in prison.

However, in the same paragraph the report is careful to point out that, "The amount of punishment depends largely on other choices that legislatures make

about the sentencing structure and what individual judges do in imposing an individual sentence" (p. 11). I stand by my position that the public views greater use of incarceration as an important ingredient of "toughness" on crime. A key theme of the paper is that parole allows systems to "target" that greater use of incarceration to violent and dangerous offenders much more immediately than does a system without discretion after the initial sentencing decision is made. Again, how well that "targeting" takes place depends upon how well the system of parole is administered, and on other factors in the criminal justice system.

Another of your comments was that, "It is totally inaccurate to infer that because Minnesota has abolished parole, inmates are released without supervision following incarceration." I agree with you completely. There is nothing in the report that could be interpreted to suggest such a conclusion. In fact, the document goes to great pains to define accurately what is meant by parole and reports that among those states where discretionary release has been eliminated "...virtually every state has retained some type of supervision after release. Its usefulness is so apparent, that even when parole release is abolished, post-release supervision has been retained. What should be emphasized, however, is that the abolition of parole review and the ability of parole boards to decide who will be released, and when, significantly undercuts post-release supervision" (p. 13).

You also state that Minnesota does not release individuals at the original mandatory minimum release date if they have been directed to complete programming or treatment within the institution and have failed to do so. I am delighted to hear that your office is exercising this discretionary judgement about the preparation for and timing of release. This makes it quite similar to discretionary parole, precisely the position the document advocates.

Your letter alludes to the yearly challenges Minnesota faces with an "ever-

growing emphasis upon get-tough legislation." Indeed, this is precisely the sort of challenge to which the APPA/APAI document responds. It lays out the position that structured discretion is an important tool to be kept in the criminal justice arsenal, rather than allowing it to be lost to the push for mandatory sentences. It is vital that the system be well-balanced, with distributed discretion so that our expensive incarcerative resources can be targeted to the violent and dangerous offender.

Let me use some language from the report. "There is surely much that is wrong in our system of justice. And the existence of parole in our systems does not remedy all, or even much of what is wrong. But parole does offer one more strong, accountable, and common-sense tool to continue the hard work of redefining a system of criminal justice into something that truly does deserve the name of justice" (p. 32). The existence of parole does not remedy all of what is wrong in our systems--the absence of parole does not negate the value of what is right with our systems. Minnesota's commitment to public safety through the responsible use of resources, through targeting its incarcerative resources to the most dangerous offenders, and through the appropriate use of sanctions is well-recognized. I have great respect for Minnesota's contributions in this field, born of long-standing professional associations with outstanding individuals in your system. We have many agreements, not the least of which is a shared commitment to community-based corrections and to intermediate sanctions.

I believe that the strengths of a well-run system of parole with structured discretion would add to an already impressive tradition of criminal justice in Minnesota. And I believe that such a modification could be integrated with the state's commitment to truth in sentencing and to a capacity-driven guidelines system.

Peggy B. Burke
Senior Associate
Center for Effective Public
Policy

The Philadelphia Inquirer recently completed a series on parole. Two of the editorials are reprinted here for consideration by the membership. We applaud the Inquirer for its advocacy of strong parole systems.

A Role for Parole

The anguish caused by some tragic errors shouldn't obscure the good a well-run parole system can do.

Parole is another word for trouble to many Americans these days.

Horror stories about released inmates committing murders have sunk candidates for president (Michael Dukakis) and governor of Pennsylvania (Mark Singel).

The latest high-profile tragedy was Pennsylvania's early release of convicted killer and Warlock Robert "Mudman" Simon, who allegedly killed a New Jersey police officer.

The Simon case revealed gaffes and gaps in policy in the parole systems of both states, and led to more public muttering about why any criminal is ever paroled.

The governor of Virginia rode such sentiments to election in 1993. Last October, Gov. George Allen made good on his promise to eliminate parole. As a result, taxpayers could eventually face something like \$2.2 billion to build new prison space in that commonwealth.

So, should Pennsylvania or New Jersey similarly conclude that parole is not worth the risk?

No.

When they work well, parole systems save taxpayers money and help former offenders ease into normal, law-abiding lives.

While the Simon case brought systemic flaws in the two states' parole systems into high relief, Simon's release was, in a sense, simply a terrible human error. It could have been avoided by sound judgment on the part of one Pennsylvania parole board member and a hearing examiner.

Unfortunately, both seemed to be confused about the mission of the parole system and overburdened with their caseloads.

Even in the best systems, parole ex-

perts say the price for turning millions of offenders into taxpaying citizens is bound to be a few mistakes, since predicting future human behavior is a very inexact business.

But it's hard to imagine a properly functioning system ever granting parole to Simon, a killer whose sentencing judge predicted he would "kill again."

The simple answer that is pushed after every tragedy, ending parole, doesn't meet the tests of history or reality.

Judges in the second half of the 19th century sentenced criminals largely to flat terms, a practice that often forced governors to issue mass pardons or prison wardens to randomly release prisoners to relieve dangerous crowding. Parole programs grew largely as a necessary relief valve for that failed system.

So the first U.S. parole systems were born largely out of a necessity that mirrors the current situation.

Pennsylvania and New Jersey have built nearly a dozen prisons between them in the last decade. It should be clear by now that financial and political ("Not in my Backyard") reasons make it nearly impossible to construct enough cells to lock up all lawbreakers for the full length of the mandatory sentences lawmakers have insisted judges impose.

Designing a more mistake-free and professional parole system is a cheaper, more effective and more humane approach.

Philadelphia Inquirer

Monday, June 19, 1995

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Parole that Works

Sentencing reform, more parole officers and creative programming can improve the system.

There are much better ways to run parole systems than the broken-down models now in operation in New Jersey and Pennsylvania.

The management of the parole and prison systems in both states suffer from the consequences of 15 years of political meddling with prison sentences by legislatures and governors.

It's the "crime of the year," or worse, "the crime of the month" syndrome. In

the 1980s, legislatures mandated long sentences for drug offenses and crimes against property with little thought to the impact on other kinds of offenders. In the 1990s, there's a crackdown on carjacking and sex offenders. Meanwhile, a murderer will slip through the cracks in the system, only to kill again.

This kind of political lawmaking has left prison and parole officials with a hodgepodge of sentencing laws and parole regulations that too often keep drug offenders on a shorter leash than violent criminals — both in and out of prison.

Compounding those problems, both states seriously underfund the support services needed to provide adequate drug treatment and help finding homes and jobs for paroled inmates—support services that in the long run are more economical than added prison space.

A priority for both states should be to write better sentencing guidelines that are based on sensible risk-management assessments. The guidelines should give appropriate weight to the seriousness of the crime (particularly if it involves violence), the statistical likelihood of recidivism for paroled inmates and their criminal histories. Most of all, they should emphasize the priority of protecting society from the highest-risk parolees.

When a parole board hearing examiner in Pennsylvania testified recently that he had recommended for parole motorcycle gang murderer Robert "Mudman" Simon based on the prison system's overall need to reduce overcrowding craziness had invaded an already confused system.

But the problems in the states' parole systems go way beyond one horrific case.

Parole officers are dangerously overworked. In New York state, for instance, one parole officer is responsible for 38 inmates during their often treacherous first 15 months outside prison, allowing the officer to spend about four hours a month with each inmate.

In Pennsylvania, one parole officer must monitor 100 parolees, and in New Jersey — contrary of our mistaken reference yesterday to a caseload of 1 officer per 80 inmates — each officer handles a

whopping 118 inmates on average. (The national average, still way too high, is 80 to 1).

And since 313 Jersey officers share 148 automobiles in various stages of disrepair, the time spent with inmates often depends on availability of cars, or local transit.

Interestingly, the Pennsylvania prison and parole officials say there are waiting lists not only for treatment centers, but also for the state's excellent, under-used and seriously under-funded pre-release program operated by community corrections director Thomas A. Rogosky.

The program is designed to phase soon-to-be-released prison inmates into society with the help of halfway houses, drug treatment, job assistance and drug testing. It has grown modestly from handling 250 inmates in 1975 to 870 today, and one study shows its recidivism rate is 20 percent better than the rate for inmates who do not go through the program.

One of the best models of a parole system is run by the state of New York. Known as "Aftershock," it is now limited because it only handles inmates released from its five trend-setting boot-camp programs known as "shock" camps.

They are placed in intensive programs where one parole officer monitors only 19 people. The parolees are encouraged to attend regular group fellowship-therapy sessions with other boot-camp graduates, and abide by the tough discipline standards of the camps. They get help to finish high school and get a minimum-wage job.

David Aziz, a criminal-justice professor who monitors the progress of the program, reports that, compared to ordinary parolees, Aftershock graduates have higher enrollment rates in treatment programs, better employment percentages and a greater proportion of parolees succeeding on high school equivalency tests. Together, the boot camps and parole program have shown modest improvement in cutting recidivism rates, and a major savings in reducing prison time for graduates.

The good news is that Martin Horn, who was in charge of parole programs for New York until early this year, is now

head of the corrections system in Pennsylvania. He should be a major player in reforming the state's parole system.

But he and other reformers need support, and that does not initially come cheap.

Members of the Pennsylvania Sentencing Commission deserve backing for a \$26 million alternative-sentencing program that would put low-risk, nonviolent offenders in drug and alcohol treatment programs instead of jail--thereby opening cell space for inmates facing longer terms.

It is time to bring more common sense to parole systems that loosely oversee more than 50,000 inmates every day on both sides of the river.

Philadelphia Inquirer

Wednesday, June 21, 1995

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Officer Supports APPA's Prototypical ISP

I am writing to thank APPA, and in particular Betsy Fulton, for her recent article in *Perspectives* regarding prototypical intensive supervision programs (Spring 1995). I would like to emphasize several of the important points that the article puts forth that are critical to a successful intensive supervision program.

First, the mechanism for case referral must ensure the appropriate placement of target cases and be empowered to reject inappropriate referrals. Net-widening must be avoided at all costs. Program integrity is damaged when excessive referrals are made because the ISP has had some success or is politically popular. Second, the management of technical violations is critical to a reduction in recidivism. This is more than just a statement. The prediction of risk and the application of resources are important skills for an intensive supervision officer. It is simple to write a warrant and difficult to manage behavioral change. Finally, community corrections professionals must recognize the sociological factors that correlate to any offender adjusting successfully to the community: employment and quality of relationships (nu-

clear and family). All other issues such as substance abuse, domestic violence, court-ordered financial obligations, STDs, etc. must be dealt with in terms of the two previously noted factors.

In closing, as an APPA member I would like to suggest that the Association consider a future effort to eliminate the destructive on-going definition by dichotomy of probation and parole officers as either social workers or law enforcement. This definition is not only inaccurate but tends to polarize our profession. There is not one sworn officer in this country that does not utilize aspects of both in her/his duties. This is in conjunction with the many other skills such as resource manager, mentor, public relations, family planning, etc. Just because I elicit urine screens on a regular basis, does not mean that I am a medical technologist.

Richard B. Callahan, M.S.
Probation and Parole Officer
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Virginia Department of
Corrections

Pols Acknowledge Parole Report

Thank you for sending a copy of *Abolishing Parole: Why the Emperor Has No Clothes*. I appreciate knowing the perspective of your organizations on this important issue. As I continue working to build a safer, more secure future for all Americans, I welcome your involvement.

Bill Clinton
President of the United States

Thank you for your recent correspondence and enclosed publication *Abolishing Parole: Why the Emperor Has No Clothes*. I appreciate your taking the time to outline your concerns on this important issue. I will carefully consider your position if and when such legislation is passed by the Georgia General Assembly and presented to me for signature into law. It is always helpful to receive input from persons and groups affected by or interested in legislative initiatives.

Zell Miller
Governor, State of Georgia

Reinventing Rehabilitation: Exploring a Competency Development Model for Juvenile Justice Intervention

by Gordon Bazemore, Ph.D. and Peter Cruise, Ph.D., Florida Atlantic University

This document is produced under grant #92-JN-CX-0005, OJJDP. Points of view or opinions expressed in this document

Introduction

In recent years, declining confidence in the treatment mission of juvenile justice have given rise to what Barry Feld has referred to as the "punitive juvenile court" and others have called a retributive paradigm for the juvenile justice system (Feld, 1990; Bazemore and Umbreit, in press). This new "criminalized" juvenile justice system is characterized by determinate and mandatory minimum statutes for juvenile offenders, desert-based guidelines, a more dominant role for prosecutors, and fewer restrictions on transfer of juveniles to adult court (Feld, 1990). Revised codes and purpose statements in a number of states now deemphasize the role of rehabilitation "in the child's best interest" and elevate the importance of desert, crime control, punishment and individual offender accountability (Walker, 1984; Feld, 1990). Moreover, changes in the nature and content of intervention toward increased emphasis on shock, accountability, punishment and control in more secure settings appear to have replaced the once dominant focus on treatment objectives in juvenile court dispositions.

Because this transformation challenges the basic rationale for a separate justice system for juveniles, many youth advocates have responded to these retributive shifts in policy and practice by proposing a number of reforms aimed at "reaffirming," "revitalizing," or "reimagining" the juvenile justice system (McHardy, 1990; McAllair, 1993). These have been well intentioned attempts to preserve a rehabilitative focus for juveniles and have in some cases brought

important improvements in the structure and administration of treatment programs. Some have suggested, however, that these efforts both underestimate the strength of the retributive model and *overestimate* the ability of even a revitalized treatment mission to sustain public support for a separate and distinctive juvenile justice system (e.g., Feld, 1990). Although public support for the concept of juvenile offender rehabilitation appears to remain strong (e.g., Schwartz, Guo and Kerbs, 1992) and belief in rehabilitation remains a potent motivational force among juvenile justice professionals (Palmer, 1992), what appears to be at issue is the *capacity* of the juvenile justice system to bring about such rehabilitation. Also implicit in this questioning of juvenile justice rehabilitation are doubts about the viability of the *individual treatment* model itself.

A central premise of this paper is that it is possible to envision a broader, more empowering, more effective, and more "marketable" agenda for juvenile offender rehabilitation and reintegration.¹ The purpose of this paper is to outline the components of a *competency development* model for juvenile offender rehabilitation, and to contrast the components of this model with those of individual treatment. Most often identified as the rehabilitative goal of the Balanced Approach mission for juvenile justice (Maloney, Romig and Armstrong, 1988; Bazemore, 1993), competency development has emerged in recent years as a holistic model for offender rehabilitation which is part of a larger agenda for juvenile justice reform.² Though it encompasses more traditional treatment and

service interventions for offenders and recognizes the need for such interventions on a *prescriptive* basis, the more holistic competency development approach gives *programmatic* priority to different policies and practices than those based on the individual treatment mission.

Competency Development: A Definition and Primary Assumptions

For purposes of this paper, competency can be defined as the *capacity to do something well that others value* (Polk and Kobrin, 1972). This focus on proficiency and usefulness to others suggests a need to increase the capacity of young offenders to survive and thrive within conventional groups in their own communities. Thus, a competency development strategy would give priority to those competencies which improve a young person's ability to be productive and effective at tasks and activities which are viewed as important by these community groups.

Defined in this way, competency development offers a clear external referent for gauging offender progress while under juvenile justice supervision and for determining whether the juvenile offender exits the system more capable of being productive and responsible in the community. A competency development focus would require that juvenile justice resources be targeted toward achieving what many would argue should be the ultimate objective and the primary justification for any "correctional" or "rehabilitative" intervention into the lives of juvenile offenders: to help steer them towards conventional

adulthood. Competency development would thus emphasize those interventions focused on improvements in education, social competence, employability, civic and community and other life skills (Maloney, Romig and Armstrong, 1988).³

The theoretical basis for the competency development approach builds on a merger of both old and new ideas and practices in the field of youth development and delinquency prevention (Polk and Kobrin, 1972; Lofquist, 1983; Pittman and Fleming, 1991). It is also informed by control or containment theory and social development perspectives (Hirschi, 1969; Briar and Pilliavin, 1965; Hawkins and Catalano, 1992), new research on the “resiliency” and the potential for normal development and maturation of youth in high risk environments (Rutter, 1985; Werner, 1986) and frequently overlooked and emerging intervention frameworks in the literature of community corrections.⁴ Essentially, each of these perspectives shares a common core focus on the components of a “legitimate identity” — and essentially begins with an examination of conventional adulthood. Such an examination would ask what is it about conventional adults that makes them “conventional,” or noncriminal and what protects or “insulates” most of us, most of the time, from the temptation to commit crimes (e.g., Hirschi, 1969).

One theory behind the focus on conventional adulthood suggests that it is the roles we fill in basic institutions (work, family, community organizations) that provide us with a legitimate public identity as well as with a self-image of usefulness and belonging (Polk and Kobrin, 1972; Pittman and Fleming, 1991). Most conventional adults value the positive image that flows from being a competent member of conventional groups, and generally benefit from this positive association and identification. They do not commit crimes because they are engaged most of the time in meaningful activities that make them feel that they belong and can do something that others value. Conventional adults have a “commitment” to conventional groups and develop a “stake in conformity” or

“side bets” which ensures that they have much to lose by being caught in illegal activities (Hirschi, 1969; Pilliavin and Briar, 1965; Becker, 1960).

Unlike conventional adults, most youth do not hold positions of responsibility in work, community or family groups which allow them to make meaningful contributions to “be competent.” Viewed increasingly as marginal commodities or even liabilities in a society where status is largely determined by one’s productive participation in the economy, young people prior to adulthood are for the most part youth increasingly denied the opportunity to be engaged in activities that are important to others and are for all practical purposes restricted to one rather limited conventional role, that of student. Those youth who lack even the clear promise of *future* access to the meaningful adult roles which successful performance in the school may provide have little to lose by involvement in delinquent and other forms of deviant behavior; the “stake” in conventional behavior is low. Further, such youth may develop low self-images and garner a negative public image as a result of being stigmatized by negative labelling process in conventional institutions such as schools (Polk and Schafer, 1972). In turn, these youth become further alienated and the existing “bond” to conventional groups is weakened (Hirschi, 1969; Hawkins and Catalano, 1992). The vast majority of youth under juvenile court supervision fit the above description, and for those youth chronically in trouble, problems of isolation and lack of commitment to conventional groups are exacerbated.

One source of hope for such youth is the persistent research finding that most delinquents eventually “outgrow” their delinquent behavior (e.g., Elliott, 1993). Another source of hope is the previously mentioned research on youth resiliency which suggests that many high risk youth manage to grow up normally and even thrive as a result of “protective influences” (e.g., Rutter, 1985; Werner, 1986). One very common protective influence which distinguishes at-risk youth who “make it” is an apparent bonding to conventional adults, and to

conventional groups which facilitate successful maturation brought on by a sense of connectedness and usefulness. The challenge for juvenile justice professionals suggested by these findings is to discover how they might create conditions that “speed up” these natural socialization and maturation processes by building on the resiliencies of delinquent and at-risk youth and on the resources of adults and institutions in their communities.

Building on these ideas, a competency development model differs from the individual treatment model in the objectives expected to be achieved at the conclusion of a rehabilitation program, or *intermediate outcomes* of intervention; in the targets, timing and assumptions, or *context* of intervention; and in the actual programs and practices, roles of participants and messages relayed in the rehabilitative process, or *content* of intervention. While debate within the treatment community has focused primarily on *process* issues — such as the methods used to select offenders for specific treatment interventions (e.g., assessment and classification techniques), variations in case management approaches, or the specific counselling or therapeutic techniques of treatment — these issues of content and context have received little attention. Moreover, an obsession with new programs and faddish intervention techniques in which policymakers seek panacea solutions rather than systemic reforms (Finckenaer, 1982; Bazemore & Umbreit, in press) has diverted attention from a focus on outcomes.

Different Outcomes: The Intermediate Objectives of Intervention

In both long-term and immediate objectives for community supervision of offenders, the individual treatment and competency development interventions differ very little. In the *short-run*, any supervision strategy is immediately concerned with stabilizing offenders or “slowing them down”. Juvenile justice professionals must minimize the likelihood that offenders will reoffend while under the court’s jurisdiction and keep them in one place long enough to ex-

ecute whatever supervision plan is appropriate. In the *long-run*, months and years after the intervention is complete, the objective of both treatment and competency development would be a conventional adult who no longer commits crimes and is not motivated to do so.

It is in the *intermediate objectives* for supervision and intervention, on the other hand, that the treatment and competency development perspectives differ most significantly. Intermediate objectives define changes in the offender, in his/her situation, and in any other targets of intervention (e.g., families, community groups) which a given rehabilitative theory suggests are necessary to bring about long term termination or reduction in offending. These changes define "successful completion" in a given intervention program and also prescribe action steps needed to reach this intermediate goal.

Table 1 lists the general supervision or intervention requirements (top half of the table) as well as intermediate changes in the offender (bottom half of the table) for the individual treatment and competency development paradigms respectively. Like the comparisons between the competency development and treatment models presented in subsequent tables in this paper, the contrasts in Table I are "ideal types." That is, they are meant to suggest general comparisons rather than to suggest that *all* treatment oriented agencies or systems mirror the assumptions, policies and practices described. Nor could one find a system or agency which completely exemplifies the competency development model.

In the treatment model, the anticipated intermediate offender change sought is generally in attitude, dysfunctional behavior and/or problematic relationships (especially within the family). Supervision requirements of the treatment model, as illustrated in probation or parole/aftercare, typically amount to a litany of prohibited behaviors concerned with restricting who the offender associates with, how late and under what circumstances s/he is allowed to be away from home, use of alcohol and other substances, absence from school. To this list of "don'ts," a list of "do's," or

a set of action steps is added which prescribes that the offender participate in services or activities assumed to help him/her with the underlying problem; for example counselling, drug education, family therapy, tutoring, or special education classes. What should be most apparent in this typical casework scenario is the absence of any tangible offender outcomes. Neither the set of prohibitions nor the prescribed activities requires that the offender *do anything* beyond showing up for a counselling session, court or probation appointment, or school.⁵

The intermediate objectives of a competency development approach, however, are markedly different. Contrary to the individual treatment model, the primary and initial change sought in the offender is increased bonding to conventional groups and acceptance by these groups and the community generally. This bonding and acceptance is expected to result from recognition of the offender as a competent, legitimate member of the group and the community and from the development of meaningful ongoing relationships with conventional adults. Thus, while improvements in self-image are viewed as an important change in the offender, visible participation in productive activity that provides opportunities for meaningful interaction between youth and conventional adults is viewed as necessary to bring about change in the community or *public image* of the offender. Rather than simple completion of services or abstinence from proscribed behaviors, the successful "end" of intervention, therefore, should be a measurable improvement in the capacity to make valued, productive contributions to the community. Since the best way to determine if an improvement in competency has occurred is often to *demonstrate* it, "action steps" involve engaging the youth in valued activities in which he/she is allowed to "practice" being competent in a new role. The relative success of such an intervention would be measured by completion of the task and by the quantity and quality of performance (e.g., in a work or community service program by quality of the work or service; in a

learning experience by post-tests; in both by subsequent competent performance in work and/or educational settings). Ultimately, the "proof" of the success of competency development interventions would be in the willingness of the community and community organizations to accept offenders more permanently in conventional roles (e.g., employers agreeing to hire youth in permanent jobs).

In the individual treatment model, the intermediate change sought in the offender is too often based on avoidance or passive participation in required activities. While such participation may also lead to increased understanding of the underlying problems assumed to be at the root of the youth's delinquent behavior, if the objective is increasing the capacity of the offender to do something well that is valued in his/her community, even the most effective treatment interventions fall short. In the more behavioral competency development approach, on the other hand, it is hoped that, having actively experienced productive involvement and gained a sense of usefulness and belonging, the offender will be motivated to continue to engage in such behaviors with the result being an improvement in both personal and *public image* and increased bonding to conventional groups. This improvement is based on a change in the offender's role rather than simply a modification in some presumed underlying attitude or correction of some behavioral adjustment problem. Moreover, as we will argue below, it is not simply the offender who needs to change.

Different Contexts: Targets, Timing and Assumptions of Interventions

If helping juvenile offenders become productive, law-abiding adults is the most important ultimate goal of intervention, a key question raised by the competency development model is how juvenile justice professionals can get delinquent youth to experience the sense of competence, usefulness and belonging that most adults derive from their roles in conventional institutions. Accomplishing this objective and changing

the current state of affairs for offenders caught up in the juvenile justice system will require more than therapeutic treatment, services or even remedial skill development. Specifically, it will demand careful scrutiny of the *context* of intervention and strategic action to change or broaden this context.

The *context* of intervention is a “bridge” between the assumptions or theory underlying a rehabilitative approach and the expected intermediate outcomes of the intervention. Specifically, the intervention context includes the *targets* of intervention, the *timing* and *priority* given to various rehabilitative approaches, assumptions about the *capacity of offenders to change*, and assumptions about the proper *focus of assessment* and about the most effective *approaches to learning conventional behavior*.

Targets of Intervention

Though focused on delinquency prevention, Lofquist’s (1983) comparisons of alternative targets of intervention provides a useful framework for contrasting treatment and competency development assumptions for offenders already under juvenile justice supervision. As the four “quadrants” in Figure 1 suggest, interventions vary in part depending on whether the focus is on changing *individuals* or *communities and institutions*.

Choosing one target maximizes the achievement of certain goals while minimizing the achievement of others. Likewise, certain practices, programs, and management practices will be given priority and others will be ignored or given minimal attention. In choosing to target young people and juvenile delinquents for change, we channel resources toward the achievement of individual change goals and emphasize practices that support such changes. At the same time, assuming a fixed amount of resources, we limit, if not largely rule out, the probability of changing *adults* and adult institutions that contribute to the problem.

Traditional individual treatment interventions take a one-dimensional view which reduces the problem of *crime* to the problem of the *offender*. As Byrne (1989) has observed in assessing the

weakness of both the surveillance/control and individual treatment models, probation and parole have ironically turned inward toward a focus on “changing the offender” and on individual control strategies at a time when policing—through the neighborhood policing movement — has become more proactive in reaching out to meet community needs (Byrne, 1989:473). Calling for a reemphasis on the “concept of *community* in community corrections,” he notes that “*offender based* community control strategies are incomplete, since they take a ‘closed system’ view of correctional interventions: *change the offender and not the community*.” (Byrne, 1989:487; emphasis in original).

Although most juvenile justice professionals emphasize the importance of the family, and many are increasingly aware of the important role of victims and the community, most treatment programs focus on individual offenders in isolation from these other groups. As atomized responses to youth crime, treatment interventions also fail to ask the community or victims for input, or to engage these other parties in the intervention process.

Moreover, as the *object* of treatment and services, the offender is offered few opportunities to make amends to victims or practice other productive, conventional behaviors that could help to change his/her perception in the community and help to establish (or reestablish) ties to community groups.

A competency development approach, on the other hand, is based on the assumption that establishing and strengthening youth bonds to conventional adults and institutions involves changing attitudes and behaviors of adults as well as juveniles -- and reshaping organizational processes in adult institutions that exclude at-risk adolescents. This means involving community groups not only in delinquency prevention but also in sanctioning, rehabilitative and reintegrative activities (see Braithwaite, 1989; McElrae, 1993; Bazemore & Umbreit, in press). Examples include: asking business groups to provide jobs slots or work opportunities for offenders, asking civic and community groups to develop creative community service projects and monitor/supervise youth in completing these, asking victims groups

Table 1

“Competency development and individual treatment prescribe different initial objectives for the completion of offender supervision.”

Intermediate Outcomes of Intervention: Treatment and Competency Development

Individual Treatment

Avoid negative influence of designated people, places and activities

Follow rules of supervision (e.g., curfew, school attendance)

Attend and participate in treatment activities (e.g., counselling)

Complete all required treatment and terminate supervision

Improvements in attitude and self-concept; improved family interaction; psychological adjustment.

Competency Development

Begin new, positive relationships and positive behavior in conventional roles; avoid placement of youth in stigmatizing treatments

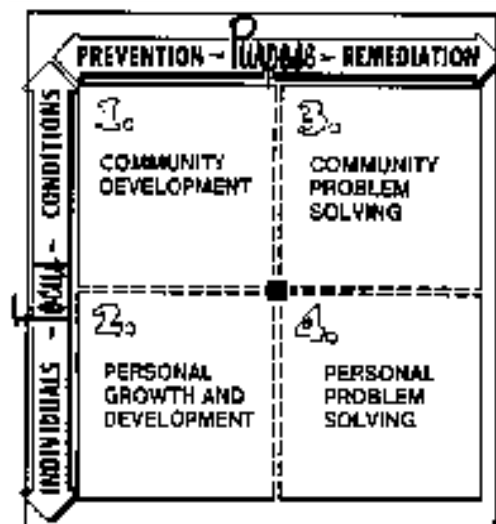
Practice competent, conventional behavior

Active demonstration of competency through completion of productive activity (service and/or work with community benefit)

Significant increase in measurable competencies (academic, social, occupational, etc.)

Improvements in self-image and public image (community acceptance) and increased bonding and community integration.

Figure 1
Arenas of Human Service Activity



Source: William A. Lofquist, *Discovering the Meaning of Prevention*, (1983)

to develop victim awareness panels for offenders or supervise offenders assigned to repair damage to burglarized homes of the elderly, asking educational, religious, and other organizations to assist with dispute resolution training for youth, and asking schools to develop and provide school credit for creative community service projects.

Ultimately, such requests make demands on these groups and are aimed at changing the mindset of citizens and community groups who have been led to believe that offender rehabilitation is the sole responsibility of juvenile justice and to accept the view that it is only offenders who need to change. At the same time, they create an awareness of the need for more youth involvement and participation in these groups. As argued earlier, a prerequisite for community acceptance and reintegration of offenders would be improvements in the capacity of offenders to make meaningful contributions to community groups. The necessary context for such contributions is the availability of conventional roles for youthful offenders which provide opportunities for meaningful contributions and for positive bonding with conventional adults while youth are en-

gaged in productive, conventional activities (e.g., Hawkins and Catalano, 1992; Polk and Kobrin, 1972).

Timing and Priority of Interventions

As Figure 1 suggests, rehabilitative interventions, in addition to emphasizing different targets, may be either preventive in focus or remedial and reactive (Lofquist, 1983). By emphasizing the remedial approach to intervention, we focus attention and resources in a certain direction based on an assumption of a need to remedy underlying problems that contribute to offender deficits.

In adopting the remedial or reactive approach, we may increase the likelihood that such problems will be identified and that ameliorative or remedial services will be prescribed to correct individual dysfunctions and (hopefully) bring the offender up to a "normal" state of existence. Such a reactive approach to assessment, however, minimizes the likelihood that we will identify strengths and begin to build positively on the offender's aptitudes and interests, family strengths, or neighborhood resources (see Table 2 on the following page). In the individual treatment approach, juvenile justice caseworkers conduct needs assessments which often read like "laundry lists" of problems. We therefore limit our expectations and rule out the possibility of achieving objectives other than completion of probationary supervision or treatment programs. Moreover, deficit-focused assessments in the absence of identification of strengths and resources may be especially devastating for minority offenders. The "lens" of therapeutic assessment often distorts our perception of family and community cultural strengths in minority communities and results in an underestimation of resources available to support offender reintegration in these communities.

While a competency development model does not assume that all youth or all offenders are equally capable of making positive contributions or minimize the importance of assessment of weaknesses and deficits, a strategic emphasis on identifying and building on strengths would assume, for purposes of interven-

tion, that offenders, their families, and their communities have positive characteristics and resources that can be exploited to increase the likelihood of reintegration and rehabilitation. If the goal is to facilitate or speed up processes of conventional maturational development, the research on resiliency mentioned earlier suggests that identifying and enhancing these "natural supports" holds more promise than simply increasing the availability of therapeutic services and treatment.

Juvenile justice professionals will be more successful if they begin by assuming a capacity in offenders for positive, productive, rational action rather than disturbance and incompetence. A competency development focus requires that juvenile justice professionals are also proactive in efforts to enhance development of these capacities. The more optimistic and appreciative focus on strengths rather than deficits and the broader emphasis on enhancing institutional supports steers juvenile justice toward locating indigenous capacity in neighborhood organizations, local businesses, civic groups, families and extended families. As an example, juvenile justice professionals concerned with enhancing a minority youth's employability skills or finding other positive community roles for such a youth may look first to minority business, fraternal or civic groups as "sponsors" for such activity.

Learning Assumptions

Ironically, many juvenile justice professionals often replicate the very strategies that have proven unsuccessful with delinquent youths in school settings. That is, they hope to achieve positive results from additional "doses" of remedial counselling, special education and other passive didactic approaches regardless of repeated past failures of these approaches. Too often, as the founder of the Youth Conservation Corps, Judge Anthony Kline puts it, "we expect drop-outs to drop-in to another school."

In contrast, the competency development strategy assumes that individuals learn primarily by *doing*. As adults we seem to accept this experiential view for

ourselves (i.e., we know that we learn best by practice and become more competent as we demonstrate our skill by teaching others), and we have even created specialized philosophies, (i.e., adult learning theory) and strategies (i.e., “adult education”) to support us in our efforts. Ironically, we seem to ignore these principles when we think about educational programs for delinquent and troublesome youth. If being “competent” requires *practicing* competent behavior in roles that require and support productivity and performance, why delay positive experiences which allow for a demonstration of competency until all other problems (e.g., learning deficits, drug problems, behavioral difficulties) are resolved? Competency development assumes that with the right supervision and support most offenders can begin immediate involvement in *some* productive activity.

Remedial and therapeutic have an important role in any program for delinquents and may be beneficial unless given an exclusive focus. In the competency development model, tutoring, reading classes, writing workshops, and other more traditional didactic approaches are used to *reinforce* active, productive engagement (e.g., in work, service, action projects) but do not dominate the program agenda. Programs such as Youth Build and Youth Conservation Corps (Stoneman, 1994; Rosenberry-Hood, 1988), for example, require three hours of class work per day and require written diaries and other reflective activities which often build on learning experiences from the day’s service and work activity. Likewise, therapeutic and remedial services can be integrated with competency development interventions when needed as a *support*, rather than as the driving rationale for a youth’s participation in a program. Much active “counseling” also occurs in the process of completing a service project, work experience and other competency development activity. Moreover, some behavioral and adjustment problems will be partly resolved as young offenders begin to experience a more positive identity in active roles under the influence and supervision of conventional adults.

Table 2

“Competency development and individual treatment make different assumptions about the ability of offenders to change and the most appropriate intervention approaches.”

The Intervention Context: Individual Treatment and Competency Development

<i>Individual Treatment</i>	<i>Competency Development</i>
Primary and initial focus on identifying deficits and ameliorative approaches to correct problems; youth defined as in need of services	Primary and initial focus on identifying strengths and building on the positive; youth viewed as resources
For purposes of intervention it is best to assume incompetence and disturbance	For purposes of intervention it is best to assume competence and capacity for positive action
Remedial and reactive	Preventive and proactive
Emphasis on change in individual youth behavior	Emphasis on change in youth and community institutions and adult behavior
Offenders learn best through counseling and remedial training	Offenders learn best by doing
Counseling as a primary modality	Counseling as support for active engagement

Different Content: The Practice, Roles and Messages of Intervention

The content of intervention includes the practices or programs that are given priority in a particular model because they are believed most likely to achieve the intermediate change outcomes expected (e.g., Table I). Equally important aspects of intervention content are the roles assigned to offenders, staff and community in the rehabilitative process. These role differences are often the essence of what may be subtle but critical qualitative distinctions in intervention programs based on individual treatment and competency development assumptions.

Programs and Practices

In addition to what has become a standard set of supervision requirements and sanctions (e.g., attend school, obey all rules of the court, obey curfew), a juvenile offender entering the typical probation department organized around the traditional individual treatment case-work agenda could potentially receive a wide array of services. Though not widely available to all or even most case-

workers in a typical probation department or residential programs, interventions viewed as “best practice” in the individual treatment model now include specialized treatment approaches (e.g., drug and sex offender programs) (Palmer, 1992), mentoring, outdoor challenge, family support work, and remedial skill development activities -- as well as more traditional clinical techniques and probation casework practices. The programs and practices listed in column one of Table 3, for example, illustrate the growing diversity of interventions which have become part of the individual treatment model. What these “ideal type” treatment/service interventions have in common is their emphasis on activities intended to “help” the offender overcome some deficit or resolve some problem or disturbance presumably related to his/her offending. Despite the apparent diversity, as Palmer (1992) points out, most treatment/services interventions focus on “personal and interpersonal change” and rely heavily on counseling — individual and group — as the primary treatment technique.

Column 2 of Table 3 provides an

Table 3

"Competency development and individual treatment differ in the nature of programs and practices that receive priority."

The Content of Intervention: Individual Treatment and Competency Development Programs and Practices

<i>Individual Treatment</i>	<i>Competency Development</i>
(Best Practices)	
Drug therapy and drug education	Youth as drug educators, drug researchers
Recreational activities	Youth as recreational aides, recreation planners
Individual and family counseling group therapy (insight based)	Peer counselling, leadership development, community service projects, family living skills; cognitive restructuring; anger management
Job readiness and job counselling	Work experience, service crews, employment, job preparation and career exploration
Cultural sensitivity training	Youth develop cultural education projects
Youth and family crisis information	Conflict resolution training, youth as school conflict mediators
Outdoor challenge programs	Conservation projects, community development projects, recycling and community beautification projects
Mentoring and "Big Brother"	Work with adult mentors on programs community projects, intergenerational projects with the elderly
Remedial education	Cross Age tutoring (juvenile offenders teach younger children), educational action teams; decisionmaking skills training

equally diverse illustrative list of competency development practices displayed so as to somewhat parallel the treatment interventions — at least in terms of substantive intervention goals (e.g., drug education; increased vocational aptitude). Even without discussion, however, the reader will detect a different "slant" to these competency development interventions. Moreover, despite the diversity within each approach, the critical common features may be already apparent.

Youth in competency development programs are expected to benefit directly from the active and productive learning experience of the program and from the sense of belonging provided by the experience of working with conventional adults and peers on important tasks.

They are also expected to make measurable gains in their own practical cognitive and social skills while serving others. For example, "at-risk" adolescents who provide tutoring to younger children show equivalent or more improvement in their own reading levels than those receiving the tutoring. Likewise, many drug and alcohol programs which utilize "recovering" addicts or alcoholics to provide services and education to other substance abusers find that recovering service providers themselves make therapeutic gains and learn more about their own recovery.

The most obvious and important common element between the diverse competency development interventions in Column 2 of Table 3, that distinguishes these programs and practices

from individual treatment, however, is that in most, youth are actively engaged in productive activity with some potential direct benefit to others. The "value" of the competency development activity thus goes beyond the value to the delinquent youth themselves; other individuals (e.g., the elderly, younger children, homeless persons) and the community institutions (e.g., businesses, civic groups) also benefit from the intervention. Still another important secondary value of competency development interventions is their utility as a *demonstration* that delinquent youth who have been primarily a liability to local communities can become a resource and are capable of competent, productive behavior. Cognitive interventions (e.g., decisionmaking skill training, anger management) provide a critical supplement to the more behavioral work, service, and active learning approaches which attempt to change the role of the offender from passive, service recipient to active, productive resource.

Intervention Roles

Though some of the more recent treatment programs and practices (e.g., outdoor challenge programs) place the offender in a more active role than traditional clinically-based programs, all in one way or another provide a "service" to the offender (e.g., therapeutic, recreational etc.). The offender is the more or less passive *recipient* of the service or program and the juvenile justice professional or contracted service program is the *provider*. Most important, the "value" of the activity lies simply in the help that is presumably provided to the offender (see Table 4).

A delinquent youth entering a competency oriented probation department would thus be at least as likely to be placed in the role of "service provider" as "service recipient." The youth in such a department might also receive counseling or other services and treatment as needed to address immediate problems, but these services would be provided as *support* for involvement in the productive activity rather than as the primary intervention modality. What this suggests is a subtle but critical qualitative

shift in the role of the offender in the intervention program -- and in the rehabilitative process itself. In individual treatment, the offender is, at best, a compliant participant in a service program; the greatest accomplishment possible is to complete the program and stop the behavior that brought about the referral to the program. "Success" is defined as the absence of a negative condition. Following the assumption that the offender, like many other youth, has not had access to roles and relationships that allow him/her participate productively in a legitimate society, the competency development approach demands that intervention strategies place the offender in roles, where they can be viewed by the community as assets or resources rather than liabilities (see Table 4). Moreover, each competency development program or practice in Table 3 assumes a collaborative and supportive role for one or more conventional adults working together with young offenders.

The role of the *juvenile justice professional* in this process is to create opportunities for delinquent youth to demonstrate competence. In addition, professionals must motivate community groups to accept offenders in positive roles and then support them in doing so. In Lofquist's framework (see Figure 1 presented earlier), these professionals are also *preventive* in that they want to change both individual and institutional conditions that stifle positive actions (e.g., the lack of positive roles for youth) and create conditions that encourage individual development as well as institutional change. Similar to community-based police officers who attempt to build the "preventive capacity" of communities to discourage predators from victimizing local citizens (e.g., Trojanowicz and Bucqueroux, 1990; Kelling and Moore, 1988), juvenile justice professionals adopting the competency development paradigm attempt to build the preventive capacity of community institutions such as work, schools, churches and family groups to ensure the positive development of youth. For example, juvenile justice may encourage and assist middle and high schools in developing creative service projects such as

those in Table 3 targeted at conventional and delinquent youth.

As suggested earlier, the role of community in competency development interventions then becomes a critical one (see Table 4). The need to clarify this role and "sell" community groups on it places another responsibility on juvenile justice to first *identify* those specific neighborhood groups (e.g., schools, employers, civic and religious groups) most capable of supporting offenders in the effort to demonstrate competency and crafting intervention strategies intended to change the image of offenders within these and other groups, while at the same time strengthening that group's capacity to support and monitor delinquent youth.

Conclusion and Implications for Implementation

Though grounded in traditional community beliefs and basic American values (e.g., the work ethic), a competency development approach cannot mean "business as usual" for juvenile justice. The objectives of competency development will not be accomplished simply by relabelling traditional treatment casework practices or adding new therapeutic or remedial programs. While the individual treatment perspective and competency development share a commitment to the well being of offenders and a belief in their potential to overcome problems related to their delinquency

(i.e., rehabilitation), the competency development approach places primary emphasis on *habilitation*: how it is that human beings, including juvenile offenders, become productive, adult citizens. In summary, competency development demands changes in the content, context, and intended outcomes of rehabilitation programs.

What's in it for juvenile justice? To change the dominant rehabilitation intervention model in juvenile justice, agencies must first be strongly committed to change. Juvenile justice professionals must be motivated by a shared belief in the underlying values of the new model and its potential benefits. They must also see concrete personal advantages as professionals. The provision of treatment and services lies at the core of casework probation and continues to be viewed by many as the only counterbalance to the punitive approaches advocated in the past decade. Change that involves movement toward a new, more holistic approach to offender rehabilitation will be challenging and even threatening to some staff.

Although the relative effectiveness of both the treatment and competency development models in the long-term must await more systematic research,⁶ juvenile justice agencies willing to experiment with competency development approaches should experience several short-term, tangible benefits. These include providing service to the community, offer-

Table 4
The Content of Intervention: Participant Roles and the Messages of Individual Treatment and Competency Development

<i>Individual Treatment</i>	<i>Competency Development</i>
(Roles)	
Community is uninvolved; responsibility for offender rehabilitation left to professionals	Community develops new opportunities for youth to make productive contributions, build competency and a sense of belonging
Role of offender as passive recipient of treatment or services	Role of offender as active productive resource for positive action
Role of juvenile justice professional as "counsellor" or "broker of services."	Role of juvenile justice professional as developing new roles for young offenders which allow for demonstration of competency.

ing meaningful work, earning, and developmental opportunities to youth, and measurable improvements in offender skill and capacity to work with others. The individual treatment approach, on the other hand, can only point to the offender's compliant participation in a treatment activity and perhaps to a temporary abstinence from the prohibited behaviors as a measure of impact. An ancillary benefit of competency development interventions is that these activities may also serve as a demonstration to the community of the capacity of offenders for positive contributions.

As these benefits to the offender and the community accumulate, the competency development approach may ultimately improve the public's image of juvenile justice. Just as demonstrating competency through productive work experience, service, and other activities may change the community's image of individual offenders, juvenile justice systems that promise and deliver on clear, objective performance outcomes (e.g., improvements in offender competency) may also change their organizational image from one of tax liability to one of community asset.

Endnotes

¹ Although a review of the effectiveness of juvenile justice treatment is beyond the scope of this paper, individual treatment as a rehabilitative model has been both fairly and unfairly criticized as ineffective (Martinson, 1974; Lab & Whitehead, 1988) — as well as stigmatizing, paternalistic, expensive, inequitable, and lacking in legal safeguards or standards for limiting duration and intensity (Lofquist, 1983; Pittman & Fleming, 1991; Walgrave, 1993). While treatment practices have changed since the 1970s when these criticisms were more common (Palmer, 1992), many of the central weaknesses in the logic of the individual treatment model remain relevant today. Moreover, although few juvenile justice professionals endorse the medical model per se its core assumptions of delinquency as a symptom of underlying personal and interpersonal problems and of the offender as a passive object in need of therapeutic and remedial ser-

vices underlie most treatment interventions today (Harris, 1984; Bazemore, 1991; Walgrave, 1993).

² The Balanced Approach mission also includes community protection and accountability to victims as major goals to be achieved by juvenile justice systems concerned with balancing the needs of key system "customers." The Balanced Approach is part of a larger paradigm known as *restorative justice* (Zehr, 1990; Bazemore & Umbreit, in press).

³ This is not to minimize the importance of a range of competencies for a healthy and satisfying adult life. Pittman & Fleming (1991), for example, discuss "personal, social citizenship, health and knowledge/reasoning/creativity" as basic competencies in offenders that allow for productive and essential contributions to conventional groups would seem to be an essential first step in ensuring acceptance by these groups. Such acceptance is often itself a prerequisite for the development of further competencies: youth become more competent once placed in institutional roles that allow for and support competency. Standards of competency, or competence, are not an absolute but vary according to the needs of specific groups (e.g., work groups, communities) as well as according to the demands of specific tasks.

⁴ The latter ideas emphasize the need to target the community for change — as well as individual offenders — as part of an intervention strategy focused on reintegration (Reiss, 1986; Byrne, 1989; Braithwaite, 1989), while the resiliency research and the experience with youth development programs and practices underscore the importance of youth access to ongoing support from conventional adults in settings which place youth in active roles which allow them to demonstrate positive, productive behavior.

⁵ For the overworked probation or parole officer in the casework model, simply getting the offender to comply with these rules (and there are often many of them) is rare enough. If the offender also has not violated curfew, has been seeing a counsellor and is attending school, the supervision intervention is generally viewed as a "success

completion" of community supervision.

⁶ There has been too little rigorous evaluation of individual treatment interventions, and competency development interventions with offenders are for the most part still too new to have been subjected to impact evaluations. Although advocates of competency development can point to a growing body of evaluation research that questions the efficacy of much individual treatment (especially the more clinical, counselling-based approaches) (see Lab and Whitehead, 1988; Maloney, Romig and Armstrong, 1988; Palmer, 1992), most would insist that *both approaches* be subjected to rigorous evaluation.

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A Course Correction in Community Corrections: Using Research to Improve the Effectiveness of Policies and Programs

by Robert E. DeComo, Ph.D., Dennis Wagner, Ph.D., and S. Christopher Baird, National Council on Crime and Delinquency

Introduction

For community corrections, the 1980's was a period of intense experimentation and innovation with the advent of new programs and technology from classification and case management to intermediate sanction such as electronic monitoring and intensive supervision. Under the intense pressures of prison crowding and economic downturns many of these new approaches were accepted at face value. In the 1990's these same pressures are continuing unabated and increasing crime rates (real or perceived) have brought justice and corrections systems to the forefront of political agendas. As a result there is now substantial pressures for community corrections agencies to demonstrate and improve their effectiveness.

While Oregon followed the path of many community corrections agencies in the 1980's, during this decade it has set itself apart by undertaking an intensive research agenda to evaluate its policies and programs. This article describes the results of two major evaluations recently completed in Oregon involving: 1) the validation of its risk assessment system; and 2) a statewide evaluation of its treatment and rehabilitation programs. The results of these studies showed that community corrections has been effective in Oregon but that by modifying its policies and programs their effectiveness could be substantially improved. These results have led to a substantial change in direction for community corrections in that state involving the refocusing of resources on high risk offenders. The re-

sults of the Oregon research can be instructive for other jurisdictions trying to "reinvent" community corrections. Moreover, the outcome of the latest Oregon initiative may well suggest the direction for community corrections across the country throughout the rest of this decade.

Risk Assessment Validation

In September 1989 the Community Services Branch (CSB) of the Oregon Department of Corrections (ORDOC) implemented an objective risk assessment system (RAS) designed to govern classification decisions about probationers and parolees on a statewide basis. The RAS is an adaptation of the History of Risk Scale which was originally implemented by the Oregon State Board of Parole in 1977 and was used to guide their release decision making. The overall goals of the RAS are to: 1) classify offenders based on their risk of recidivism; 2) manage the supervision of offenders using the least restrictive principle; and 3) insure statewide consistency in the classification and management of offenders.

The RAS follows the form and function of most risk oriented classification systems which have become standard operational procedure in hundreds of community corrections agencies across the country over the last decade. The RAS actually employs two separate risk scales which are used to establish a classification level at admission and to reassess this decision at scheduled intervals throughout the period of supervision.

The initial risk assessment and reassessment scales are actuarial type instruments which direct that the classification level for an offender be established from a composite score derived from their subscores on a series of specific social and criminal history factors or criteria. The RAS does allow the CSB officer the discretion to override the classification level derived from the assessment score when additional risk factors can justify this departure.

In May 1992, the CSB initiated a research study designed to evaluate the performance of the system in meeting its established goals (i.e., validation). Validating the RAS is extremely important as this system has direct implications for public safety, by determining the level of supervision to be provided in individual cases, and for agency management since classification decisions about offender supervision become the driving force behind CSB staff allocations and budgeting decisions through its workload reporting system.

The overall goal of the validation process was to assess the current performance of the RAS and recommend specific steps that can be taken to improve its performance. In conducting the validation CSB established an Advisory Committee composed of a cross-section of CSB managers and line staff. The Committee established a series of specific research questions to be addressed by the research. The answers to these questions formed the basis for its assessment of how well the RAS exhibits properties associated with effective classifica-

tions systems. These properties are: 1) validity — does the system achieve the goals for which it was designed; 2) reliability — is it accurately and consistently applied; 3) equity — is it fair and effective in its application to specific groups of offenders (e.g., sex and racial groups); and 4) utility — is the system relatively easy to use and understand for the staff responsible for its application.

In order to conduct this type of comprehensive assessment CSB analyzed several types of quantitative and qualitative data collected from several sources. These data included:

1. All RAS (initial assessment and reassessment) information as well as demographic and background characteristics available from the ORDOC's computerized Offender Profile System (OPS) on a sample of offenders admitted to supervision in the first six months following statewide implementation of the clas-

sification system. Using this information for this group of offenders allowed an assessment of the application of the RAS in individual cases over their entire period of supervision.

2. Complete criminal histories for all offenders included in the admissions sample which were obtained from the computerized Law Enforcement Data Sheets (LEDS) maintained by the Oregon State Police which is the official state repository for this information. This information allowed CSB to compare an offender's performance over an eighteen month follow-up period in relation to the risk assessments made about them. This information also allowed CSB to examine alternative criminal history and background criteria that might improve the performance of the current RAS.

3. Official ORDOC documents such as policies, regulations and procedures which were used to identify the specific goals and objectives of the RAS.

4. Validation research studies which contained assessment criteria empirically found to be effective in assessing risk of recidivism in other jurisdictions. These studies were used to assess the apparent (i.e., face) validity of the RAS criteria and to identify potential alternative factors.

5. Interrater reliability test results from the scoring of a sample of actual cases by a group of randomly selected officers from across the state. This information was used to assess the level of accuracy and consistency in line staff applications of the RAS.

6. The results of a survey of CSB staff attitudes and experiences with the current RAS which provided a qualitative assessment of the system's design, implementation and effectiveness.

Overall, the results of CSB's assessment of the current RAS were very favorable. The highlights of CSB's findings were as follows:

There was considerable support for the face validity of the current RAS in that its design appears consistent with its stated goals and the criteria it employs are found in most risk assessment sys-

tems that have been empirically validated in other jurisdictions across the country.

There was clear evidence from the analysis of its actual performance that the current system effectively discriminates between groups of offenders with decidedly different rates of success/failure. It was also clear that the current RAS was effective in managing CSB resources by placing a large proportion of appropriate offenders in lower supervision levels. The study also found the system performed as well with specific sex, race and offense groups as it did with the overall population.

Other positive findings regarding the performance of the current system included the observation that CSB officers used their discretion to override the RAS assigned classification levels in a limited number of cases and were evenhanded in these departures by increasing and decreasing assessments in about equal proportions.

Finally, this study showed that the current RAS moved a significant number of offenders to lower classification levels through the reassessment process. This is an important feature of the system since this allows the CSB to control its workload by reducing its resource allocation to offenders who are performing well under supervision.

On the other hand, the validation study also revealed some deficiencies with the current system. First, the results of the interrater reliability testing found substantial levels of scoring errors which were attributed to the complexity of the RAS scoring instructions. The impact of this problem was mitigated by the high rates of correct classification assignments which occurred in spite of these errors.

Second, the current system had some structural flaws that reduced its utility. For example, the scoring process is counter-intuitive assigning higher scores to lower level risk cases and vice versa, making it somewhat difficult to understand. In addition, a narrow scoring range made it difficult to adjust cut-off scores which is an

Figure 1: Oregon Risk Assessment Study Follow-Up Felony Conviction Rate for Current Initial Classification by Risk Level

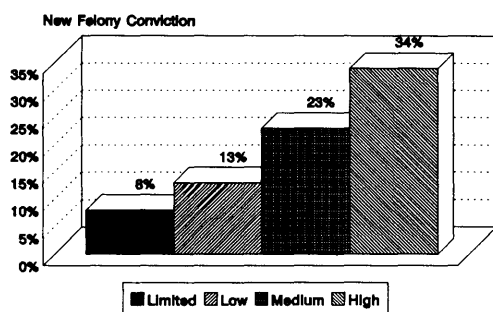
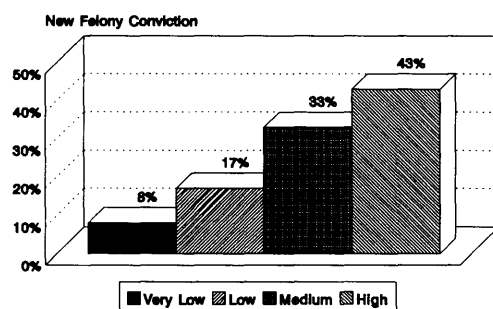


Figure 2: Oregon Risk Assessment Study Follow-Up Felony Conviction Rate for Revised Initial Classification by Risk Level



important feature in dealing with changing workload and resource conditions.

Finally, the current RAS lacks credibility with CSB staff based on the results of the staff survey which showed only mixed opinions on the design and implementation of the system and clearly negative opinions regarding its overall effectiveness. These negative staff perceptions could be attributed to the reliability and utility problems mentioned above as well as the lack of any empirical evidence regarding the actual performance of the current RAS before this study was completed.

Even more importantly the validation study identified specific steps that could be taken to improve the performance of the RAS and assuage the problems with the current system. CSB's analysis produced revised initial assessment (and reassessment) scales which improve the separation of offenders based on success/failure rates while simultaneously placing larger proportions of offenders in lower supervision levels. In addition, the revised system was made easier to score, easier to understand and easier to adjust for workload purposes. Revisions to the risk assessment scale(s) involved modification (e.g., redefinition, reweighting), deletion and addition of criterion as well as changes to the scoring procedure (e.g., direction and range of risk scores). The result is a four-level offender classification system which provides sharper discrimination between higher and lower rate offenders while simultaneously reducing the number of cases classified as high risk.

More specifically, based on the follow-up study of over 1,800 offenders, the study showed that the current initial assessment and reassessment scales have achieved a good level of discrimination among offenders on all three of the outcome measures used in the validation study (i.e., felony, violent felony, combined misdemeanor and felony convictions). For example, Figure 1 shows that the current initial RAS identifies a very low risk (limited level) group of offenders

with an 8 percent follow-up felony conviction rate and a high risk group with a 34 percent rate. By comparison, Figure 2 shows that making the revisions described above produces an initial risk assessment instrument that identifies a similar group of very low rate offenders (also 8 percent rate). However, the revised instrument also identifies groups of offenders with higher follow-up felony conviction rates in all three of the other classification levels including a high risk offender group with a 43 percent felony conviction rate. This is significant as one important purpose of all risk assessment systems should be to separate groups of offenders to the maximum extent possible based on rates of success/failure.

In addition the validation study showed that the revised instruments place a much larger proportion of cases

in the lowest classification level. For example, Table 1 shows that the current initial risk assessment instrument placed 11 percent of the sample in the limited

Many of these programs had developed options for punishing technical violators which do not require revocation to prison or jail and, more importantly, they appear to have had the discretion to use them.

risk and 28 percent of the sample the in the high risk categories. By comparison, Table 2 shows that the revised initial risk assessment instrument places 30 percent (a 19 percent increase) of the sample in

TABLE 1				
FOLLOW-UP FELONY CONVICTION RATE BY RISK LEVEL: CURRENT INITIAL CLASSIFICATION				
Risk Classification	Sample Cases	% Sample	Felony Conviction	
			Cases	Rate
Limited (1-1)	206	11%	16	8%
Low (9-10)	717	39%	95	13%
Medium (7-8)	380	21%	87	23%
High (0-6)	518	28%	176	34%
TOTAL	1,821	100%	374	21%

TABLE 2				
FOLLOW-UP FELONY CONVICTION RATE BY RISK LEVEL: REVISED INITIAL CLASSIFICATION				
Risk Classification	Sample Cases	% Sample	Felony Conviction	
			Cases	Rate
Very Low (-3 to 0)	555	30%	47	8%
Low (1-5)	714	39%	124	17%
Medium (6-9)	357	20%	119	33%
High (10-18)	195	11%	84	43%
TOTAL	1,821	100%	374	21%

Figure 3: One Year Follow-Up Outcomes for Program Participants and Control Group Offenders
(Prison, Jail and Probation Sentences)

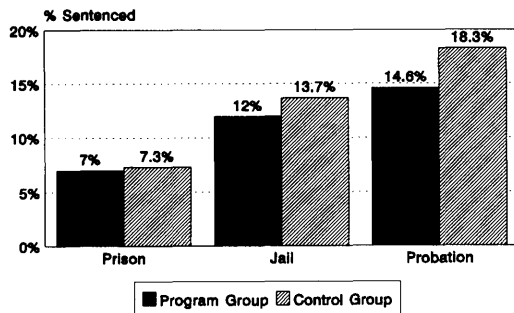
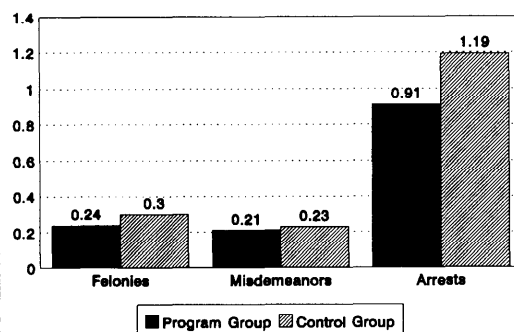


Figure 4: One Year Follow-Up Outcomes for Criminal Felony Convictions, Misdemeanor Convictions and Arrests



the limited risk category and 11 percent (a 17 percent decrease) in the high risk category.

Similar comparisons of the current and revised initial risk assessment and reassessment scales on other outcome measures produced parallel results in terms of sharper discrimination and more favorable distribution of cases. These improvements were also found when the revised and current instruments were compared for sex, race, supervision status and offense admissions groups.

In other words, compared to the current initial risk assessment instrument the revised instrument identifies a much smaller group of high risk offenders who have a higher recidivism rate and a much larger group of low risk offenders

with the same recidivism rate. This is extremely important as one of the goals of the RAS was to place offenders in the least restrictive classification level consistent with public safety. These results show that adopting the revised initial risk assessment instrument could significantly reduce CSB's supervision workload (estimated to be 80 to 90 FTE's before overrides are exercised) without compromising public safety. Staff time could then be redeployed in any number of advantageous directions such as increasing supervision standards for medium and high risk cases and/or overriding all violent/sex offenders to high risk.

While there are many obstacles that have thwarted validation efforts in many community corrections agencies, it is clear from the results of this study that Oregon's commitment to validation could produce substantial benefits. With the adoption of a revised, empirically derived RAS Oregon could join a small but elite group of community corrections agencies who have implemented a second generation of classification systems that are demonstrably more effective as an offender and agency management system.

Evaluation of the Effectiveness of Supervision and Community Rehabilitation Programs

Through funding provided by the Oregon Department of Corrections Community Services Branch (CSB), County Community Corrections Offices across the state have established a number of specialized programs designed to more effectively supervise and rehabilitate probationers and parolees. In 1992 the CSB initiated a research study to evaluate their relative impact on offenders' subsequent criminal behavior.

While the ideal approach to evaluation would be to design and conduct individual program specific evaluations, limited time and resources required a broader statewide assessment of program impact. To do so the CSB selected

24 individual county programs to be evaluated. The criteria for selecting specific programs from all of the specialized programs operated by the counties were as follows:

1. Representative of the range of programs funded by the state;
2. Operated in different geographical locations constituting a statewide sampling of programs;
3. Programs that were in operation long enough to allow for a one year follow up period and were still in operation during the study period; and
4. Programs of particular interest to CSB based on their potential for expansion.

The 24 programs in 14 counties selected for evaluation employed a variety of specialized and often innovative approaches to community supervision including: intensive supervision, electronic monitoring; jail sanctions for substance abuse, work release, substance abuse treatment and monitoring, and employment and family interventions. While the individual programs have developed somewhat differently to respond to local concerns or conditions, the evaluation design was developed to capture as much of this diversity as possible while producing results that are comparable across programs and locations.

For evaluation purposes, the 24 local programs were organized into six programmatic areas based on their objectives, offender target group and supervision and treatment techniques. These programmatic areas were:

- Drug Reduction of Probationers (DROP)
- Electronic Monitoring
- Substance Abuse Treatment
- Probation Centers
- Women's Programs
- Sex Offender Supervision

The evaluation methods involved identifying program participants and collecting information on correctional outcomes during a 12 month period following admission to the program to determine the impact of these interventions. In all 1,369 probationers and pa-

rolees were identified as program participants who were admitted in CY 1990.

Since the behavior of program participants must be assessed relative to some standard, it was necessary to identify a control group(s) of similar offenders who were not program participants. Since random assignment was not practical for evaluating a program that had been operating for several years the alternative approach was to match program participants with similar non-participating offenders entering supervision during the same period. This was done by individually matching the 1,369 program participants with a control group of 1,369 offenders who had the same sex, race, age and supervision status (probation or parole). In addition, the two groups were matched as closely as possible on commitment offense and each item on the Oregon initial risk assessment instrument (# prior felonies; # prior incarcerations; violation status, substance abuse, felonies last 3 years). This matching effort was successful in identifying a control group of offenders with essentially the same characteristics and the same estimated likelihood of recidivism as the program participants. The matching procedures provided the best and most unbiased research comparisons that could be drawn in these circumstances.

To assess the impact of the program intervention on offender behavior multiple outcome measures based on type of criminal behavior and correctional responses were employed which included arrests, convictions (for felonies or misdemeanors) as well as new sentences to probation, jail or prison.

For example, Figures 3 and 4 compares outcomes after a one year follow-up for program participants and control group offenders for each of the measures used in the evaluation. Figure 3 shows that a smaller percentage of program participants received prison, jail or probation sentences than did control group offenders during the follow-up period. Figure 4 shows that the program participants also had fewer average numbers

of felony and misdemeanor convictions as well as arrests during the follow-up period than the control group offenders. These differences between program participants and control group offenders were statistically significant for all the outcome measures except prison sentences and misdemeanor convictions.

More specifically, each of the six specialized supervision programs demonstrated some positive and statistically significant impact on program participant behavior compared to controls during a twelve month follow-up period. Table 3 shows all but one program appeared to have reduced criminal arrests among program participants below levels observed for non-participating offenders in the control group. In addition, a reduction in either new felony or misdemeanor convictions was observed for four of the six programs. Further, four of the six programs showed some significant reduction in subsequent criminal sentences received by program participants compared to controls. Finally, even were reductions in outcomes were

too small to be statistically significant, there was a clear overall trend toward fewer convictions, arrests, and criminal sentences among program participants evidencing an overall positive impact on public safety by virtue of program participation.

While these results can be considered generally favorable about many of the supervision programs operated in Oregon, the results are far more revealing and instructive when outcomes are disaggregated by risk level for program and non-program participants. Figure 5 shows subsequent criminal sentences for program participants and controls by risk level. The low risk and medium risk offenders show no significant differences in sentences between program participants and controls. Importantly, there were significant improvements in jail and probation sentences between participants and controls for high risk offenders compared to controls.

A similar pattern in results was observed for differences in criminal convictions and arrests for program partici-

TABLE 3
SUMMARY OF IMPROVED (YES) OR NOT IMPROVED (NO)
OUTCOME MEASURES FOR PROGRAM PARTICIPANTS
COMPARED TO CONTROL GROUP OFFENDERS BY PROGRAM AREA

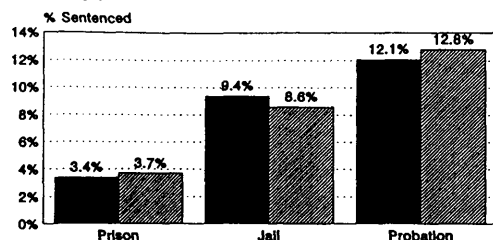
Program Area	Impact of Sentences, Criminal Convictions, and Arrests				
	Prison	Jail	Probation	Criminal Conviction	Criminal Arrest
DROP	Yes*	No	No	Yes*	Yes*
Electronic Monitor	No	No	Yes	Yes*	Yes*
Substance Abuse	No	Yes*	Yes*	Yes*	Yes*
Probation Center	No	No	No	No	Yes*
Women's Programs ¹	No	No	No	Yes*	Yes*
Sex Offender ¹	Yes*	No	No	No	No
TOTAL PROGRAM	No	Yes*	Yes*	Yes*	Yes*

¹ Small N size

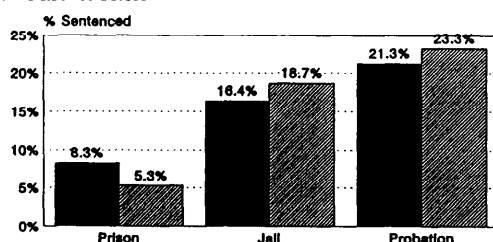
* Statistically significant difference in outcome measure

Figure 5: Program Participants and Control Group Offenders Outcomes* for Prison, Jail and Probation Sentences (Low, Medium and High Risk)

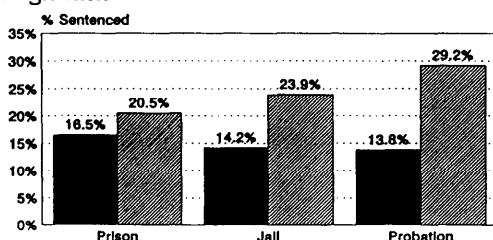
Low Risk



Medium Risk



High Risk



■ Program Group ▨ Control Group

* One Year Follow-Up

pants compared to controls (see Figure 6). Again, there were no differences between low risk offenders and among medium risk offenders only arrests showed significant improvements for the program participants. However, there were significant improvement for high risk program participants for all conviction and arrest outcomes compared to the control group of high risk offenders.

Overall, program participation appears to have had a positive impact on public safety as measured by arrests and convictions. Fewer jail, probation or prison sentences were observed in some programs. While improvements in out-

comes were small in some instances there is a discernable trend towards improved outcomes for program participants.

The positive nature of the findings summarized above are not unusual in historical perspective. A number of other studies have reported that closer supervision and substance abuse as well as other treatment have a positive impact on offender behavior (see McGlothlin, 1977; Byrne and Kelly, 1989; Andrews et al., 1990, or Fogg, 1992). Although the RAND evaluations of intensive supervision programs for drug/high risk offenders did not demonstrate much positive impact, the programs themselves tended to be surveillance oriented and did not have strong treatment components (Petersilia and Turner, 1990a and 1990b). Furthermore, those ISP's were generally new demonstration projects which had not had the opportunity to develop a consistent operating style and were probably inclined to revoke offenders for technical violations.

By comparison, the Oregon programs examined here secured community-based treatment for a large number of participating offenders and were inclined to use the supervision process to encourage treatment participation. Furthermore, many of these programs had developed options for punishing technical violators which do not require revocation to prison or jail and, more importantly, they appear to have had the discretion to use them. The manner in which violations are handled by local program staff can make a big difference in program performance. The combination of all these factors make it more likely that a positive impact will be observed in arrests, criminal convictions and sentencing outcomes.

Conclusions

Oregon was one of literally hundreds of community corrections agencies which implemented risk assessment based classification systems in the 1980's. Also like the vast majority of

these agencies, the CSB in Oregon decided to adapt a risk assessment instrument developed for another purpose or population rather than to empirically construct a new instrument uniquely designed for its offender population. While this course was defensible based on expedience and the universal quality of risk instruments, it left agencies like the CSB with no objective information to demonstrate that this adapted system actually performed properly with their own population.

To overcome this important deficiency, it was recommended that these agencies validate their systems after a period in which they garnered sufficient experience and data to conduct such research. Unfortunately, lack of commitment, resources, expertise and changing priorities have served as some of the obstacles to validation in all too many agencies. As a result, many agencies are operating with classification systems that lack credibility, or at worst, are actually ineffective in managing offenders and resources.

Unlike these agencies, the CSB sustained its commitment to insuring an effective classification system by conducting the comprehensive validation research presented in this article. This is especially fortunate since the results of this research are very favorable and if properly utilized can produce important benefits for the CSB. Specifically, this research has clearly shown that the current risk assessment system has performed well despite some documented problems of reliability, utility and credibility. More importantly, the research has also provided a proposed model for a revised system that can significantly improve classification decision making from both a public safety and a resource allocation perspective.

In addition, the evaluation of its supervision and treatment programs indicated that Oregon has received a positive return on its investment of community corrections dollars based on the improved case outcomes observed for program participants. Most importantly,

when program participants were compared to non-participants, the greatest improvement in public safety outcomes occurred among high risk offenders. Given limited correctional resources this research demonstrates the relative advantage of targeting high risk offenders for specialized supervision and treatment programs

Taken together, community corrections research in Oregon has not only demonstrated the effectiveness of its policies and programs but has also provided a direction for improvement that can have public safety and cost/benefit advantages. These results should also underscore the importance of research and development procedures in our corrections systems. As demands on our correctional systems increase from rising crime rates and more punitive sentencing practices it is research and development that will help our systems respond intelligently by creating new ideas and new directions.

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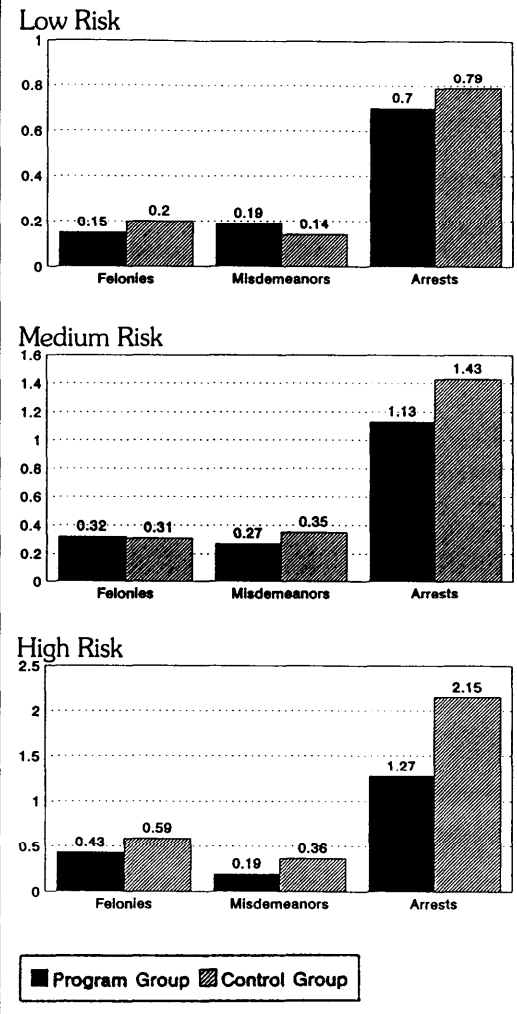
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Figure 6: One Year Follow-Up Outcomes for Criminal Felony Convictions, Misdemeanor Convictions and Arrests by Risk Group (Low, Medium and High Risk)



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Mental Illness in Probation and Parole Populations: *Results from a National Survey*

by Harry N. Boone, Jr., Ph. D., Research Associate, American Probation and Parole Association

Introduction

One of the more understudied issues in the criminal justice system has been the extent of mental illness among offender populations, particularly probation and parole. Although mental illness can be a significant contributing factor in many instances of criminal activity, there is a lack of available information about mental illness in the probation and parole populations (Clear, Byrne, & Dvoskin, 1993). The effects of recent changes in sentence type and length and conditions of release in the community raise some concerns as to the accuracy of using information from prison/jail populations to estimate the prevalence and types of mental illness in community supervision programs. Community corrections professionals simply do not know the extent to which mental illness is a problem among its population.

The lack of knowledge about this offender population creates many problems for probation and parole agencies and officers. First, because the extent of the problem is unknown, training and specialization for dealing with these offenders has not been a priority. In many situations, line officers, with little or no specialized training, are expected to supervise these offenders as a part of their regular caseload.

Obtaining appropriate evaluation and treatment for this population [mentally ill offenders] has historically been difficult for probation officers. In addition, the mental health problems of this population often creates difficulties in establishing effective officer/probationer relationships and dealing with behaviors which increases risk to the community (Michael E. Santese, Deputy Director for Operations, Connecticut

Office of Adult Probation).

Second, mental health and criminal justice professionals have struggled for years with the dilemma of who is responsible for serving mentally ill and mentally retarded persons who become criminal offenders (Criminal Justice Policy Council, 1993).

Why should probation have anything to do with mental illness? The entire population resides in the community, where it has equal access [to mental health services] as the rest of the community (Statement made by a state mental health administrator).

Such "turf" issues lead to a lack of coordination between community corrections and mental health agencies and result in duplication of efforts and/or failure to provide needed services for mentally ill offenders.

These problems leave probation and parole without a treatment model for providing treatment and services for mentally ill probationers and parolees. Too often these offenders "fall through the cracks" and fail to receive the needed services.

Recognizing these problems, the American Probation and Parole Association (APPA), in cooperation with the National Coalition for the Mentally Ill in the Criminal Justice System (the Coalition) conducted a state-by-state survey of probation and parole agencies to determine the prevalence of mental illness in probation and parole populations. This article will report the findings of this survey.

Statement of the Problem

The management of persons with mental illness is problematic at all levels of the criminal justice system (Veysey,

1994). The Texas Council on Offenders with Mental Impairments (1990) identified several major aspects of the problem including: inappropriate identification of the problem; lack of alternative treatment/service options; inability of the offender to respond to corrections; a prison and jail system stretched beyond capacity; court mandates to improve services; and lack of knowledge about the extent of the problem.

Inappropriate Identification of the Problem

Clear, Byrne, and Dvoskin (1993) concluded that community corrections professionals do not know the extent of mental illness among its population. Not knowing about the extent of mental illness in the community corrections population can lead to problems in the supervision of these offenders and providing for their treatment and service needs.

Historically, law enforcement, prosecutorial, judicial, and corrections officials have not had adequate information about the signs and symptoms of mental retardation, mental illness, and developmental disabilities; about appropriate methods of effectively dealing with signs and symptoms; or about the needs of individuals with these conditions and illnesses (Texas Council on Offenders with Mental Impairments, 1990, p. 9).

Lack of Treatment Options

Because the extent of mental illness is not known, provisions have not been made for adequate treatment options. Some states have recognized the situation and attempted to secure additional treatment options for mentally ill offenders. The Utah Department of Corrections, in its 5-year plan, listed additional

treatment and planning resources for mentally ill offenders as a major issue facing the department (Utah Department of Corrections, 1994). Efforts such as this are needed to bring attention to the needs of mentally ill offenders in community corrections.

Offenders Response to Community Corrections

Persons with mental illness who come into contact with the criminal justice systems are a particularly vulnerable group. They are often under-served in outpatient and community support programs. Combined with the stress and stigma associated with their mental disabilities, the burden resulting from their arrest and charges can exacerbate the isolation and distrust that often accompany their mental illness (Veysey, 1994). Studies have shown that individuals with mental illness receive more severe criminal sanctions (New York State Office of Mental Health Forensic Task Force [Forensic Task Force], 1991). The mentally ill offender loses on two accounts: 1) due to their isolation and lack of involvement in treatment they are less likely to respond positively to the community corrections system; and 2) this poor response is likely to result in more severe sanctions.

Overcrowded Prisons and Jails

Many of the state and federal prison systems are operating at or above their capacity (Gillard, 1993). This crowding situation has contributed to higher numbers of offenders with more serious problems being placed on probation or parole. These additional demands on community corrections resources reduce the likelihood that mentally ill offenders will receive needed treatment and services.

Court Mandates to Improve Services

Court ordered treatment and services have placed a burden on community corrections budgets that are all ready stretched to the limit. Texas, for example, was placed under a Federal Court Order to improve mental health and mental retardation services to offenders under community supervision (Texas Council on Offenders with Mental Impairments, 1990). While a court order may provide for the needs of a specified group of of-

fenders with additional funding, treatment and services for other offenders may be sacrificed to fulfill the court mandate.

Lack of Knowledge on Extent of Problem

As stated in the introduction, the most basic problem is the lack of data on mentally ill offenders on probation and parole. Identification of the prevalence of mental illness in this population is an important first step within the constructs of advocacy, treatment, and when appropriate, diversion from the criminal justice system.

The purpose of the survey conducted by APPA and the Coalition was to determine the number of mentally ill offenders on probation and parole caseloads, as well as, the methods agencies employed to meet the specialized needs of this population. This remainder of the article reports on the findings from that survey.

Methodology

The chief probation and parole administrator, and the chief mental health administrator in every state, were contacted and asked to identify the person in their state most knowledgeable about mental illness within that state's probation and parole population. The recommended contacts were assembled into a mailing list for dissemination of the survey.

The survey instrument requested the following information: type of community corrections organization, number of adult offenders in probation and parole, availability of records on mental illness in probation and parole populations, number of mentally ill probationers and parolees in each jurisdiction, number of offenders exhibiting specific DSM-III-R disorders, demographic characteristics of the mentally ill population, assessment and treatment options available to the jurisdiction, and specific programmatic factors relating to mental illness that exist in the jurisdictions. For the purpose of the study, mental disorders were limited to an "adult having a disabling mental illness, which includes schizophrenia and/or an affective disorder." Offenders meeting this definition

could also have a secondary diagnosis, such as substance abuse, personality disorders, or mental retardation.

The instrument was distributed to each state contact. In some cases, more than one contact person was identified, and those states received multiple surveys. Telephone calls were then made to selected states to improve the response rate.

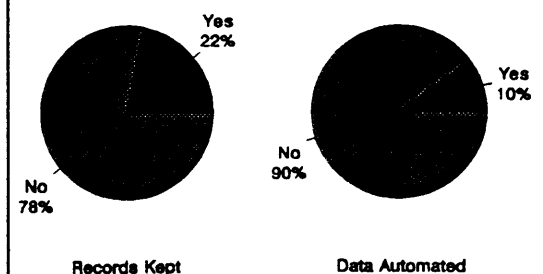
A first draft of the monograph was prepared and distributed to the state contacts. All state contacts on the initial mailing list were asked to review the information and to offer corrections, additions, and comments. As a result of the review process, additional data were received from a number of states.

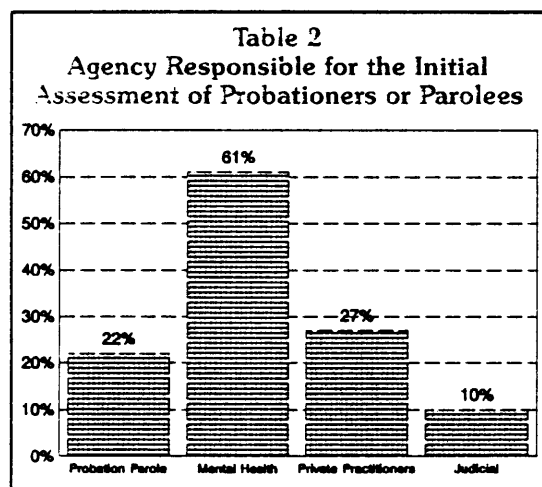
Although survey recipients were encouraged to return the surveys, *whether or not* their state maintained information, some states simply elected not to submit the survey. Research staff cannot report, in these instances, whether or not that state has information and chose not to submit it, or whether the information did not exist.

Survey Results

A questionnaire was mailed to at least one contact in each of the fifty states and the District of Columbia. Useable data were received from contacts in forty-one states including: Alabama, California, Colorado, Connecticut, Delaware, Florida, Georgia, Hawaii, Illinois, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Missouri, Montana, Nebraska, New Hampshire, New Jersey, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Penn-

Table 1
Prevalence of Mental Illness in Probation and Parole





sylvania, Rhode Island, South Carolina, Tennessee, Texas, Utah, Vermont, Virginia, Washington, West Virginia, Wisconsin, and Wyoming.

Accessibility of Data on Mentally Ill Offenders

One of the major objectives of the study was to determine the accessibility of data on the identification of mental illness in probation and parole populations and interventions implemented to meet their specialized needs. Before probation and parole jurisdictions can begin to secure the needed resources to meet the specialized needs of mentally ill offenders, they must have some information on the prevalence and nature of mental illness among this population. Without an organized and systematic process for identifying and tracking mentally ill offenders, it will be impossible to establish the extent to which a problem exists.

Nine states¹ (22%) indicated that records were kept on the prevalence of mental illness among its probation and/or parole populations. Four states² (10%) indicated that the information on the prevalence or incidence of mental illness was automated and tracked systematically.

Prevalence of Mental Illness in Probation and Parole Populations³

After determining the availability of data on the prevalence of mental illness in probation and parole, the next step was to determine the extent to which a problem exists. This was accomplished

by determining the number of mentally ill offenders sentenced to community supervision and the nature of their problem(s).

• **Number and Percentage of Mentally Ill Offenders.** Ten states⁴ reported data on the number and percentage of mentally ill offenders in their probation population. The percentage of mentally ill offenders in the probation populations of these states ranged from 3% to 23% with a mean response of 6%. Ten states⁵ reported the percentage of mentally ill offenders in their parole populations. The percentage of mentally ill offenders in these ten states ranged from 1% to 11% with a mean response of 5%.

• **DSM-III-R Disorders.** Survey respondents were asked to identify the number and percentage of mentally ill probationers/parolees exhibiting specific DSM-III-R disorders. The disorders included schizophrenia, schizophreniform disorder, depression, dysthymia, mania, personality disorder, alcohol abuse/dependency, and drug abuse/dependency. Five states⁶ were able to provide information on the number and/or percentage of mentally ill probationers/parolees in the various categories. The average response for the following DSM-III-R disorders were 19%, 6%, 41%, 10%, 23%, and 51% for schizophrenia, schizophreniform disorder, depression, dysthymia, mania, and personality disorders, respectively.

Demographic Characteristics of Mentally Ill Probation and Parole Populations

Another step in the process was to describe the population of mentally ill offenders. Standard demographic measures of race, gender, and age were used.

• **Racial/Ethnic Composition of Mentally Ill Offenders.** Respondents were asked to provide information on the racial/ethnic composition of their states' mentally ill populations. Three states⁷ provided this information on probationers. The population included an average of 67% whites, 29% blacks, 2% Hispanics, 1% Native Americans, and 1% other racial backgrounds. Three states⁸ provided this data on their mentally ill parole population. The mentally

ill parole population in the three states was composed of 71% whites and 28% blacks.

• **Gender of Mentally Ill Offenders.** Four states⁹ provided data on the gender composition of their mentally ill probation populations. The gender of the mentally ill probation population included 75% males and 25% females. Four states¹⁰ also provided information on their mentally ill parole populations. The mentally ill parole population was composed of 91% males and 9% females.

• **Age of Mentally Ill Offenders.** The mentally ill populations were divided into age categories. Because data on mental illness in probation and parole populations were limited, age category data were also limited. A complete breakdown of the age category data provided by five respondents. The largest group of mentally ill offenders was between the ages of 30 and 40 years of age.

Assessment and Treatment of Mentally Ill Offenders

To determine the types of services available for mentally ill offenders, a number of questions were asked. Who was responsible for the initial assessment of offenders suspected to be mentally ill? Are initial assessments conducted by probation/parole departments, local mental health agencies, state mental health agencies, or private agencies/practitioners? Once an offender has been diagnosed with a mental illness, who has the authority to order mental health treatment? Finally, what options are available to the jurisdiction for providing this treatment?

• **Agency Responsible for Initial Assessment.** Information was provided by forty-one states on the agency responsible for the initial assessment procedures used to identify mental illness in probation and parole populations. More than one agency could be responsible for the initial assessment, therefore, the total percentage exceeds 100%. An initial assessment of mentally ill probationers and parolees was most likely to be conducted by a mental health agency (61%). Private practitioners were listed by eleven states (27%) as the

agency responsible for the initial assessment. Nine states (22%) indicated probation and/or parole agencies conducted the initial assessment.

One example of an assessment instrument used by probation/parole officers was found in the New York State Division of Parole's *Parole-Mental Health Training Program — Officer Training Handbook* (Weis, Cox, & McCormick, 1994). The assessment consisted of a series of questions to be used by parole officers during a brief interview with the offender. The series of questions covered the following topics: indicators of mental illness, psychiatric treatment history, presence of mental retardation/developmental disability, receipt of current treatment/medications, history of suicide attempts/current ideation, and history of violence/current threat. The information was used to access the emergency/non-emergency treatment needs of the offender.

• **Authority to Order Mental Health Treatment.** Twenty-five states (61%) indicated the court system could order mental health treatment as a condition of probation or parole supervision. Twenty-three states (56%) indicated mental health treatment could be mandated by the parole board as a condition of parole supervision. Other means for mandating mental health treatment as a condition of probation or parole supervision were legislation ($n = 5$) and agency policy ($n = 5$).

• **Treatment Options for Mentally Ill Offenders.** Treatment options, available for mentally ill probationers and parolees, included: local mental health agencies ($n = 34$), private mental health practitioners ($n = 30$), state mental health agencies ($n = 31$), and private mental health agencies ($n = 29$). Most states had more than one option for obtaining treatment for its mentally ill probationers and parolees. Thirteen states (32%) reported active contracts for mental health services for probationers/parolees. Contracting agencies included private practitioners, private facilities, state or regional departments of mental health, and state universities.

Programmatic Factors

In addition to specific treatment op-

tions, what can be done to meet the needs of mentally ill offenders? Survey respondents were asked to provide information about specific aspects of their programs designed to meet the needs of the mentally ill probation and parole populations. Information was collected on specialized programs/caseloads designed for mentally ill offenders, state budget allocations, and specific legislation dealing with this population.

• **Specialized Supervision Programs.** Ten states (24%) operated specialized supervision programs within probation/parole for mentally ill offenders. Six of the programs were administered through the probation/parole department, three were administered by a mental health department, and one program was administered jointly by probation/parole and mental health. States that have specialized supervision programs for mentally ill offenders included: California, Colorado, Illinois, Maryland, Michigan, Missouri, New York, Texas, Utah, and Washington.

One example of a program designed to meet the needs of mentally ill offenders is the Orange Street Community Correctional Center in Salt Lake City, Utah (Utah Department of Corrections, 1993). The center was opened in 1984, and houses up to 60 male offenders. Of the 60 beds, 14 are designated for the mentally ill, who receive individual treatment, group treatment, psychiatric and nursing services, and instruction in living and hygiene skills. The program for the mentally ill offender takes approximately five months to complete. This program is a marriage of mental health and corrections and the successful results have been applauded nationally.

• **State Budget Line Item.** Two states (5%), Missouri and Texas, have a line item in the state budget for supervising mentally ill probationers and parolees.

• **State Legislation.** Four states (10%) have specific legislation addressing the mentally ill probation/parole population. However, in Missouri and Nebraska, the legislation was limited to mentally ill sex-offenders. Of the forty-one states responding to the survey, only Texas and New York have specific legislation addressing the needs of all men-

tally ill offenders under probation and parole supervision.

In Texas, three legislative acts have been enacted. S.B.26 created the Texas Council on Offenders with Mental Impairments to spearhead a collaborative effort addressing the growing population

Community corrections professionals simply do not know the extent to which mental illness is a problem among its population.

of juvenile and adults with mental illness, mental retardation, or developmental disabilities involved in the criminal justice system. H.B.93 amended the Council's role to include the elderly, terminally ill, or physically handicapped. S.B.252 provided for continuity of care for offenders in the criminal justice system who are mentally impaired, elderly, physically disabled, terminally ill, or significantly ill. The bill required state corrections and human services agencies to adopt various memorandums of understanding with other state agencies to facilitate the provision of services to special needs offenders.

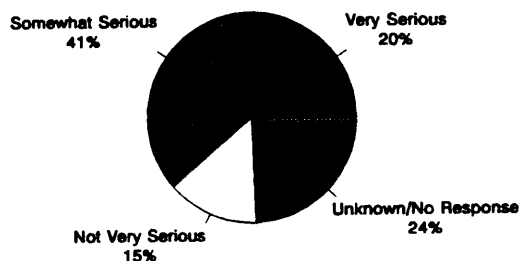
Three legislative acts have also been passed in New York, including the Mental Hygiene Law 33.13, Criminal Procedure Law 390.30, and the Criminal Procedure Law 400.10. Included in the New York legislation, is an act that authorizes a criminal court to order the defendant to comply with specified pre-sentence conditions, including a requirement that the defendant undergo available medical or psychiatric treatment or satisfy any other conditions reasonably related to rehabilitation.

Problems Reported

Respondents cited a number of problems in securing appropriate treatment and ancillary services for mentally ill offenders including:

- Public mental health agencies are underfunded;
- Agencies are reluctant to take ownership of the population;
- Agencies are reluctant to view mentally ill offenders as a separate group;

Table 3
Seriousness of Mental Illness within
Probation/Parole Populations



- Lack of resources to provide services for mentally ill offenders; and
- Staff safety issues when dealing with mentally ill offenders.

These and other problems must be addressed in order to provide appropriate treatment and other ancillary services for mentally ill offenders.

General Comments

Survey respondents were asked to provide their opinions on the seriousness of the mental illness problem, issues/problems raised by this group of offenders, and concerns they may have in dealing with this group of offenders.

Each of the respondents was asked to rate the seriousness of mental illness within their state's probation/parole populations. Of the thirty-one respondents to this survey item, eight (20%) rated the problem as "very serious," seventeen respondents (41%) rated the problem as "somewhat serious," and six respondents (15%) felt the problem was not very serious.

Conclusions

Based upon data from the study, the following conclusions have been reached:

1. The majority of the states do not maintain data on the prevalence of mental illness in their probation and parole populations.
2. Most states do not track information on the prevalence of mental illness among probation and parole populations in an automated and systematic manner.

3. Treatment options for mentally ill offenders are limited.

4. There is a lack of coordination between probation/parole and mental health agencies.

5. Probation and jurisdictions do not have a systematic procedure for dealing with mentally ill probationers or parolees.

Based on the information obtained from the nine states that maintain this data, it may be estimated that approximately 6% of the probation and parole populations suffers from some form of mental illness. While the data from the study are not generalizable due to the limited information that was available on this population, it is, however, consistent with previous research that showed approximately 6% of prison populations suffer from some form of mental illness (Jemelka, Rahman, & Trupin, 1993). If the data are a true indicator of the mental illness in probation and parole populations in the United States, over 210,000 offenders residing in the community need mental health services (based on 6% of the 3,514,915 adult probationers and parolees reported by Gillard and Beck (1994)).

Even when mental illness was diagnosed, strategies employed to meet the needs of these offenders were limited. With a few exceptions, states do not have a systematic process to coordinate treatment and service activities between mental health and community corrections systems. This can lead to duplication of effort, not to mention ineffective use of already scarce resources. Competition and turf issues seem to be significant impediments to serving mentally ill probationers and parolees. The following comment provided one example of the lack of coordination among agencies.

Community Mental Health lacks the resources to effectively deal with this client population. They do not want to deal with sex offenders or dually diagnosed clients. The Cornerstone program will address issues with dually diagnosed clients, however, they must first be evaluated and referred from Community Mental Health. Community Mental health is reluctant to make referrals as the money comes out of their

budget (Ron Wolskee, Supervisor, Delaware Probation and Parole).

These general conclusions should be viewed as a call for probation and parole agencies. The mentally ill offender population poses significant risks to themselves and the community. It is imperative that a systematic and comprehensive approach be developed for identifying and treating the specific needs of this population.

Recommendations

Probation and parole jurisdictions should strive to develop a community mental health model of treatment for offenders diagnosed with mental illness. Before a treatment model can be established, however, procedures must be implemented to identify offenders with mental illness and to track their progress in a systematic manner. To successfully provide for the needs of mentally ill offenders under the supervision of probation and parole jurisdictions, the following recommendations are offered:

Appropriate assessment techniques and strategies must be employed to identify mentally ill offenders assigned to supervision by probation and parole jurisdictions.

Mental health treatment should begin with an assessment that, among other things, highlights risk factors that may be evident during pretrial release and probation supervision (Federal Judicial Center, 1994). A major aspect of the Balanced Approach (Maloney, Romig & Armstrong, 1988) requires an *individualized assessment* of each offender. It is important to view each person as a whole and unique entity having a particular set of strengths and problems. Such an appraisal assists in formulating the most appropriate intervention plans and determining the level of risk to the offender and the community.

A "one size fits all" approach to intervening with offenders is not successful. This is particularly true with mentally ill offenders. Palmer (1984) states that offenders differ from each other in terms of the primary causes of illegal behavior, their present situation, and future pros-

pects. These particular characteristics of offenders help channel them to the most effective intervention options. Assessments that help sort out the level of risk presented and offenders' specific needs can be used to steer them to appropriate interventions based on principal tasks they need to complete, areas of focus for the intervention, and particular approaches which are most appropriate for their needs (Gendreau, Cullen & Bonta, 1994; Palmer, 1984).

Mental health needs and interventions should be an integral part of this process. A number of the respondents indicated that better screening/assessment techniques to identify mentally ill offenders were needed.

Information on mentally ill offenders, including interventions and progress, must be recorded and tracked in a systematic manner.

Data on mentally ill offenders may currently exist in some jurisdictions, however, there is typically no systematic method for recording, tracking, and reporting it. To accomplish this goal, it may be necessary for agencies to change the types of information currently recorded on their MIS.

When asked about problems/issues in dealing with mentally ill offenders, one respondent offered the following statement about the availability of accurate and reliable data on mentally ill offenders. "A computer program has been developed [in Kansas] to track mentally ill offenders from 1991 on. The program currently tracks information on offenders who do not fit the criteria of mental illness which presents an erroneous picture of mental illness in Kansas" (Chris Rieger, Parole Services Manager, Kansas Department of Corrections). This situation demonstrates the futility of collecting erroneous, inaccurate, and/or incomplete information. Regardless of the technology used by the jurisdiction, the system is worthless unless appropriate information can be collected, stored, summarized, and reported in a useable format.

MIS capabilities and content are critical to effective program evaluation. In-

formation stored in the MIS should be used to evaluate the program's success and recommend ways to improve program operations. Based upon the results of the evaluation, program components should be modified to better serve the needs of mentally ill offenders.

Jurisdictions should consider using a performance-based evaluation process to define their true values and translate them into action and results. Performance-based measures indicate what an agency is doing to identify and meet the needs of its mentally ill offenders and how effectively they are doing it. They provide a basis for program modification and improvements of mental illness assessments and interventions and a mechanism for linking employee evaluation to the agency's mission. By implementing a system of performance-based measures, community corrections agencies position themselves as learning organizations and demonstrate commitment to achieving their stated goals.

Appropriate treatment and other ancillary services should be provided for all mentally ill offenders under the supervision of probation and parole systems.

Harris and Rice (1995) used two distinct empirical literature bases to define a treatment program for mentally ill offenders. First, because research indicates that personal characteristics that predict further antisocial behavior among mentally ill offenders are the same that predict recidivism among criminal offenders in general, research on the principles of effective intervention for the reduction of criminal recidivism among offenders was used. Second, research on psychosocial rehabilitation for persons with mental illness was also used. Using information from these two empirical research bases, Harris and Rice (1995) identified the following essential features of a program for mentally ill offenders:

- conservative use of psychiatric medications as a means to maximize compliance;
- behavioral or psychoeducational training in relevant skills targeted at criminogenic needs;

- assertively delivered services whose intensity is in proportion to clients' statistically-determined risk;
- a staff selected, trained, monitored, and rewarded in a manner that reflects clarity of clinical purpose; and
- objective measurement of outcomes, clinical progress, and clients' and clinicians' performance (Harris & Rice, 1995, p. 22).

Harris and Rice point out that the knowledge to provide effective service for mentally ill offenders already exists; all that is required is the will to use it.

The delivery of services between probation and parole and community mental health services providers should be coordinated.

Offenders under the supervision of community corrections agencies require a variety of services throughout their rehabilitative process. While these services are increasingly being provided in-house, probation and parole agencies are still dependent on other community service providers to meet these needs. Cooperative planning between probation/parole and other mental health services is essential. An important step in cooperative planning is the ability for both systems to share information and resources. Information can be integrated by sharing files and previous assessments, as well as professional opinions and perceptions.

Coordinating services can be difficult and complex. While community corrections and mental health service providers have common goals (e.g., rehabilitation, return to a productive lifestyle), the differences in terminology and philosophical orientations can lead to goal confusion and misunderstandings. Cooperation begins with mutual understanding which requires learning about the operational issues, activities and philosophies of each organization.

Coordinating services is rapidly complicated when rules and regulations provide what are perceived to be formidable barriers (e.g., confidentiality regulations) between probation/parole and mental health service providers. Disagreement also arises around the issue of who

should be treated. Because criminal justice referrals are often without resources and motivation, they are not typically the favored offender. Often they are found "not amenable to treatment" and refused services. These issues and the resource constraints that all community agencies are experiencing should make it clear that mere co-existence is not sufficient. Cooperative, reciprocal relationships among community corrections and mental health service providers are a necessity. There are positive experiences and examples which can serve as useful models of coordinated services.

A community mental health model of treatment for mentally ill probationers and parolees should be developed.

New York state, in response to several class action lawsuits, transferred the responsibility for the prison mental health care from the Department of Corrections to the Office of Mental Health. During this process the following treatment model was developed:

1. There must be a wide array of services, varying in intensity.
2. Services should be individualized, with treatment plans for every recipient on the active caseload.
3. Every person should receive the least costly, least intensive service that meets his or her needs.
4. The service system should extend as far as possible into the community, giving people mental health support in their environments.
5. The system's goals and procedures should be clear, concise, and widely understood by inmates and staff (Dvoskin, Smith, & Broaddus, 1993, p.116).

Summary

Several salient facts became apparent to research staff in conducting a state-by-state survey on mental illness in probation and parole populations. The most obvious issue is the clear lack of valid, verifiable information on this population. Second, it is equally obvious that if states cannot provide data on this population, it is quite unlikely that they are adequately meeting the needs of these

offenders. This could have significant crime control implications.

Recommended Action Plan

The problems identified in this survey are not, for the most part, insurmountable. Most states reported a need for additional research on this population, as well as a willingness to participate in such research. The only impediment to such endeavors is the scarcity of financial resources.

It should be communicated to states that funding designed to meet the needs of a given population is generally contingent upon the accessibility of accurate information about that population. Both government and private funding sources require valid, updated facts about the population to be served. With few exceptions, this data currently does not exist. A critical first step will be improved (and where possible) automated record keeping about this population.

Perhaps the most critical step toward meeting the needs of mentally ill offenders in the community corrections system will be the formation of linkages between mental health and criminal justice systems. Collaboration and coordination of efforts between these two systems would result in vast improvements in levels of effectiveness and efficiency. Currently, turf issues and boundaries seem to present a monumental impediment to serving the mentally ill probationer or parolee.

There are several strategies which could prove extremely successful in improving the current situation: additional research on the issue; creation of pilot sites which would collect and maintain effective data on mental illness in probation and parole populations; and the provision of training and technical assistance in such areas as management information systems, communications, formal interagency agreements, and communication and collaboration.

This survey was an important first step, but there remains a vast amount of work to be done on this issue. We know more about the problems; now we need to learn more about potential solutions.

Endnotes

¹Colorado, Connecticut, Georgia, Illinois, Iowa, Maryland, Michigan, Okla-

homa, and Texas.

²Illinois, Maryland, Michigan, and Oklahoma.

³It should be noted that some states took the time to review case files to compile data necessary for the completion of the survey. This accounts for the discrepancy in the number of states that indicated records were kept on the prevalence of mental illness and the number of states that provided data for the survey.

⁴Connecticut, Florida, Hawaii, Illinois, Maryland, Michigan, South Carolina, Texas, Utah, and Wyoming.

⁵California, Colorado, Florida, Georgia, Kansas, Maryland, Massachusetts, Michigan, Utah, and Wyoming.

⁶Delaware, Maryland, Massachusetts, Michigan, and Wyoming.

⁷Delaware, Maryland, and Wyoming.

⁸Maryland, Michigan, and Wyoming.

⁹Delaware, Hawaii, Maryland, and Wyoming.

¹⁰Georgia, Maryland, Michigan, and Wyoming.

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Mentally Ill Offenders: An Overview of Issues

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What is the extent of mental illness among offenders placed under various forms of correctional control (i.e. prisons, jails, residential community correction programs, parole, probation, and intermediate sanctions)? The surprising answer to this question is that "we simply don't know." Researchers have disagreed on how mental illness should be defined and measured. This leaves policymakers and corrections practitioners in a difficult position — they must make sense of an assortment of studies with often conflicting estimates on the magnitude of the problem. In the following article, we attempt to define the problem of mental illness and then to summarize the available research on the extent of mental illness in both institutional and community corrections. The implications of this research for corrections policy and practice vis — vis the mentally ill offenders are also discussed.

1. Mental Illness Defined

According to a recent review by Jemelka, Trupin and Chiles (1989: 481) "*mentally ill offender* is a term that is used frequently, but with little consensus about its definition. Attempts to quantify this population have used different definitions and different methodologies." Some have argued that the term "mental illness" actually represents one of four possible categories of *mentally disordered offenders* (MDO's) (Halleck, 1986; Feder, 1991). For example, Feder (1991: 477) argues that mentally disordered offenders include the following subgroups:

1. IST are defendants evaluated or found incompetent to stand trial;
2. NGRI are individuals determined not guilty by reason of insanity;
3. MDSO are mentally disordered sexual offenders; and

4. MIO are mentally ill offenders who, while imprisoned, demonstrate major psychiatric disorders requiring inpatient care in a psychiatric setting.

While the above typology of mental disorders may include all *formal* categories of disturbance, Halleck (1986) and others (e.g. Shah, 1989) have pointed out that there are a significant number of "mentally disordered" offenders who are not formally categorized in this way. In fact, Halleck (1986: 4) argues that "if ordinary standards of diagnosis [e.g. using DSM-III of the American Psychiatric Association] were used in the criminal justice system, the majority of offenders would probably be classified as mentally disordered." It is with this caveat in mind that we now present the various estimates of the size of the mentally ill offender population.

2. The Mentally Ill in Prison

Jemelka, Trupin and Chiles (1989: 482) offer the definition of the most commonly cited definition of the mentally ill offender:

"The mentally Ill offender includes . . . those individuals in prisons and jails who have a diagnosable major psychiatric disorder (schizophrenias, unipolar and bipolar depression or organic syndromes with psychotic features)."

Based on this definition, the estimate is that 6 to 8 percent of the state prison populations have a serious psychiatric illness" (Jemelka, Trupin and Chiles, 1989: 482). The estimate is based on field surveys of correctional administrators. However, many of these field surveys are already dated, given the changing profile of state and federal prisoners (see, e.g. Monahan and Steadman, 1982, 1982; McCarthy, 1985). However, when prisoners were directly evalu-

ated using standard assessment procedures, it was apparent that field surveys significantly *underestimate* the size of the mentally ill offender population. Table 1 (in Appendix) highlights the results of the three direct evaluations of state prison populations reviewed by Jemelka and his colleagues, along with other field survey results. Using the *direct* evaluation method, the size of the mentally ill offender population ranged from 11 to 16 percent.

The estimated size of the mentally ill offender population is even larger if a broader definition of the term is used. For example, Monahan and Steadman's 1978 field survey included a widely cited estimate that "15 to 20 percent of all prison inmates need psychiatric treatment at some point in their incarceration" (Monahan and Steadman (1982) as summarized in Jemelka *et al.*, 1989: 482). More recently, Baskin, Sommers and Steadman (1991) estimated that mentally disordered offenders may account for up to 35 percent of the prison population, depending on the definition of mental disorder" (Severson, 1992: 57). Similar estimates are offered in other recent reviews (e.g. Shah (1989)), which suggests that *noncategorized* mentally ill offenders represent a major management problem for federal and state prison officials (Halleck, 1986).

3. The Mentally Ill in Jail

One consequence of deinstitutionalization in the mental health system has been the movement of the mentally ill *out* of institutions and *into* county and local jails (Kropp, Cox, Roesch, Eaves, 1989; Adler, 1986). Because they are plagued by the same definitional and methodological problems mentioned earlier regarding estimates of the mentally ill in prison, it is difficult to rely on

existing survey estimates of the size of this population in jails (Freeman and Roesch, 1989). The average daily 1991 local/county jail population was 422,609. On any given day, slightly less than half (48.7%) of the adult inmates in jail were sentenced offenders; the remaining offenders were awaiting trial, sentencing or transfer to another (state/federal) facility (Bureau of Justice Statistics, 1992). According to a recent review by Jemelka, Trupin and Chiles (1989: 483), anywhere from "3 - 50%" of all jail inmates have some form of mental illness (Refer to Table 1).

If Teplin (1984) is correct, the reason we find a disproportionate number of mentally ill individuals in jail is that police respond more harshly to mentally ill than non-mentally ill-offenders. According to Kropp, Cox, Roesch and Eaves (1989: 81), "Police have become increasingly involved with the mentally ill and frequently exercise their option to arrest such individuals due to the lack of options available to them." As a result, it has been estimated that there are now "about 33 percent *more* mentally ill individuals in jails than in mental hospitals" (Edna McConnell Clark Foundation, 1992: 9). Even the most conservative estimates of the size of the mentally ill jail population (4-12% with *severe* mental illness) are higher than the comparable prevalence rates for the general population (Teplin, McClelland and Abram, 1993). Unfortunately, there are only a few examples of jail-based mental health treatment programs that can be identified (e.g. Steadman, 1992; Ringel and Segal, 1986). The constant movement of offenders between institutional and community control is likely to continue unabated until we address the mental health needs of these offenders.

4. The Mentally Ill Under Community Supervision

Estimates of the size of the mentally ill population under various forms of community supervision (i.e. probation, parole, intermediate sanctions, furloughs) are typically derived from the *prison* and *jail* prevalence studies previously discussed and presented in Table 1. The rationale for this strategy is simple to

identify: the necessary research on the prevalence of mental illness among various *community corrections* populations has not been conducted. Obviously, such basic research is needed for planning and program development efforts targeting mentally ill offenders. Although the prison and jail-based estimates are certainly suggestive, recent changes in sentence type, sentence length and the conditions/method of release to the community may have affected both the *number* and *type* of mentally ill offenders currently supervised in the community. Direct assessments of probationers and parolees need to be completed using the standardized assessment procedures recommended by Steadman et al. (1987) and others (see, e.g. Shah, 1993). Until such basic research is completed, we can not offer an accurate estimate of the size of the mentally ill population under community supervision.

5. Mental Illness and Public Safety

A number of researchers have examined the criminal behavior of offenders with various forms of mental illness (see, e.g. Hodgins, 1993; Taylor, 1993; Teplin, McClelland and Abram, 1993; Hare and Hart, 1993). Their general conclusion is that there is "clear, consistent, and convincing evidence of relationships between criminal and violent behaviors and certain major mental disorders" (Shah, 1993: 306), such as schizophrenia, major depression and bipolar disorder. However, estimates of the size of the mentally ill population incarcerated in prison and jail vary widely (see, e.g. Monahan, 1993), while estimates of the size of the mentally ill population under various forms of community supervision (probation, parole, intermediate sanctions) are simply not available. Any attempts to summarize the research literature on the effectiveness of institutional and community corrections programs with mentally ill offenders are limited by this classification "shortfall." Nonetheless, Sheilagh Hodgins recent summary of the research on the criminality of mentally disordered persons is worth repeating here: "[The Research] reviewed here provide good evidence that

persons with, or persons who will develop, major mental disorders are at an increased risk for committing a crime and for committing a violent crime: (1993: 17). The stakes associated with the decision not to provide mental health services to offenders currently under various forms of correctional control are obviously quite high.

Concluding Comments: Corrections Policy and the Mentally Ill Offender

There are significant differences in the 1980 and 1990 profile of the "typical" offender placed in either an institutional or community-based setting in this country. Not only do we have *more* offenders to control than ever before, but these offenders appear to have problems (e.g. mental illness, sexual dysfunctions, drug addiction, and/or alcohol abuse) that challenge both the resources and expertise of corrections personnel. A number of recent reviews of this problem (see, e.g. Steadman and Cocozza, 1993) have advocated major reforms in both the quantity and quality of *institution-based* mental health services and for closer attention to the needs of the mentally ill offender during the "transition" between institutional and community control (Clear, Byrne, and Dvoskin, 1993). In particular, the following are considered critical for the effective transition of offenders with mental health problems in the community: 1) the offender needs the same level of care as a patient leaving a state hospital, including case management, day treatment, medication services, and housing; 2) case management by a service provider in the community should begin prior to release from prison/jail; 3) an individualized community support plan, which juxtaposes the individual's strengths, weaknesses and treatment needs with available resources, is a necessary document in reintegrating the offender back into the community; and 4) supervision is beneficial to many offenders and should be mandatory from some MIOs (Jemelka, et al., 1993).

While these recommendations certainly make sense, it still seems remarkable that more accurate estimates of

Table 1
Selected Estimates of the Size of the Prison and Jail Population
With Mental Illness (Overall, by Type)*

<i>Author (Yr.)</i>	<i>Sample (Yr.)</i>	<i>Results</i>
Monahan and Steadman (1982)	1978 survey of federal and state mental health and correctional facilities in U.S. (N=307,276 offenders)	1. "Mentally Ill" offenders comprise 6-8% of the state prison population. 2. "15-20% of all prison inmates need psychiatric treatment at some point in the incarceration" (as summarized by Jemelka et al., 1989: 482)
McCarthy (1985)	Review of state prison estimates of prison population with mental illness.	1. Estimates of the size of the mentally ill offender population "ranged from 1-22%." 2. However, "most correctional systems do not have systems level data necessary to support intelligent and informed planning" (as summarized in Jemelka et al., 1989: 482).
Steadman, Fabisiak and Dvoskin (1987)	Direct evaluation of 3,332 prisoners using standardized assessment procedures	1. "Eight percent [of the prisoners evaluated] were found to have a severe psychiatric and/or functional disability" and 2. "16 percent had a significant psychiatric and/or functional disability" (as summarized by Jemelka et al., 1989: 482). 3. These findings suggest that facility surveys underestimate the size of the mentally ill offender population.
James, Gregory, Jones et al. (1980)	A stratified random sample of Oklahoma's state prison population (net cases unknown).	1. "Two-thirds of the prison population were in need of some form of psychiatric care" (as summarized by Jemelka et al., 1989: 483). 2. "35% were diagnosed as having a personality disorder, 25% had a primary diagnosis of substance abuse, and 5% were schizophrenic (Jemelka et al., 1989: 482-483).
<i>Neighbors H the Prevalence of Mental Disorder in Michigan Prisons (1987)</i>	A stratified random sample of 1,070 Michigan prisoners (year of survey completion unknown).	1. Based on the Diagnostic Interview Schedule, 11.7% had a mental illness (2.8% schizophrenic, 5.1% major depression, 3.8% bipolar disorder or mania) (summarized in Jemelka et al., 1989: 483). 2. In addition, 50% had antisocial personalities, while 47% were diagnosed as alcohol abusers/alcohol dependent.
Teplin (1983)	Review of 12 studies of mental illness in jails	1. "Estimates on the size of the mentally ill [jail] offender population "ranged" from 3-50% of those incarcerated" (Jemelka et al., 1989: 483)

*Adapted from Jemelka, Trupin, and Chiles (1989), "The Mentally Ill in Prisons: A Review," *Hospital and Community Psychiatry* 40(5): 481-491.

both the size and characteristics of the mentally ill population under various forms of correctional control are not available. Until these prevalence studies are completed, correctional policy-makers and practitioners will continue to argue over whether mental illness is really a problem deserving immediate attention and little progress can be made in this important area.

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Putting the “Community” in Corrections

by F. Gerald Dash, Executive Director, Volunteers in Prevention, Probation & Prisons, Inc., Detroit, Michigan

Introduction

In October 1995, a landmark in the history of the volunteer movement in juvenile and criminal justice will be celebrated in Detroit, Michigan. It was in October 1970, that Volunteers in Prevention, Probation and Prisons Incorporated (VIP) brought together, for training and information sharing, the first gathering of judges, probation officers, prosecutors and other juvenile and criminal justice professionals who were utilizing volunteers in their services to juvenile and criminal justice offenders. Over 500 professionals and volunteers attended that historic conference.

In October 1995, VIP, along with the International Association of Justice Volunteerism (IAJV), will bring together judges, probation personnel, volunteers and other professionals from across the United States and Canada to celebrate the Silver Anniversary of the International Forums which have served the volunteer movement in juvenile and criminal justice since 1970.

A Historical Perspective

It was in April 1959 that Judge Keith J. Leenhouts was elected to the bench of the Municipal Court located in Royal Oak, Michigan. Royal Oak is a community of about 100,000 people and is located approximately two miles north of Detroit. Shortly after beginning his term on the bench, Judge Leenhouts became very concerned about the quantity and quality of services which were being provided to young misdemeanor offenders who were being sentenced in his court. The normal sentence of fines and jail time was not working effectively. This was evidenced by the rate of recidivism, not only in the Royal Oak court, but in courts in other surrounding communities.

As a result of his concerns, Judge Leenhouts gathered eight of his closest friends to discuss the problem and to seek solutions. The eight individuals were comprised of four high school

counselors and four professionals from the mental health field. What was to result from this meeting would change the history of thousands of juvenile and criminal justice professionals and practitioners for decades to come.

The group came up with a simple, but what was to prove, very effective solution. In addition to the traditional court sentence of probation, fines or jail time, the group suggested that each offender also be matched with an inspirational personality, someone who can guide and provide discipline in their lives. Each of these eight then volunteered to become the first 'one-to-one' volunteers in Judge Leenhout's court and each was assigned an offender whom they would meet with at least once a week. Each assignment continued for the duration of the offender's sentence to probation, typically one year.

As time went on, the impact these eight community volunteers were having on offenders coming through the Royal Oak Court were truly amazing. One frustration set in though. While they were observing significant changes in the behaviors of the probationers they were working with, there were hundreds of others who needed similar one-to-one support. This frustration brought them to Judge Leenhouts with a convincing recommendation to open up the 'one-to-one' program to the entire Royal Oak community. With Judge Leenhout's support, the program was opened up to the community and the community responded. Within a short period of time, over 500 citizens had responded and were trained to work within the program, the majority as one-to-one mentors who worked regularly with probationers who were assigned to them by the court.

In 1965, the Royal Oak program gained national recognition due in part to a research project which was funded by the National Institute of Mental Health. The research study, covering a span of five years, demonstrated that the Royal Oak court, through citizen volun-

teer involvement, maintained a remarkable 7 percent recidivism rate versus a comparison court which maintained a 70 percent recidivism rate. The study validated anecdotal evidence showing that the Royal Oak court was eleven times more effective in curbing offenders from future criminal behavior than the comparison court which did not involve volunteers in its services to offenders.

As a result of this research study, the Royal Oak Court was cited twice in the *Reader's Digest* in 1965 and again in 1969. The *Digest* articles stimulated over 2,000 inquiries and requests for assistance from courts and communities across the nation who sought to replicate the Royal Oak Court Program. As a result of these articles, a wealthy philanthropist from Chicago became very interested in Judge Leenhout's work. He flew to Royal Oak to get a first-hand perspective of the program and was so impressed with the impact the program was having on crime that he offered to fund Judge Leenhout's salary and expenses if he would resign from the bench and disseminate the idea nationally. Judge Leenhouts responded favorably to this offer and out of that decision emerged Volunteers in Prevention, Probation and Prisons Incorporated (VIP) whose principal mission was to disseminate the concept of voluntarism in juvenile and criminal justice across the United States.

Size and State of the Volunteer Movement

In 1979, VIP mailed a survey card to a list of courts, prisons, probation, parole, prevention and diversion programs which were supplied by the U.S. Department of Commerce. The total mailing was about 50,000. Organizations replying to the survey card were then sent an extensive six-page questionnaire asking more specific questions relative to number of volunteers involved and number of clients served.

Based on the survey data collected, and with the assistance of Dr. Robert T. Sigler, researcher from the University of Alabama Department of Criminal Justice, it was estimated that approximately 4,000 volunteer programs likely existed in 1979 and these programs involved from 400,000 to 500,000 volunteers in a variety of roles. It was also estimated that between 250,000 to 300,000 clients were served annually by these programs.

Over the past three decades, thousands of volunteer programs have been started by judges, probation and parole officers and by concerned citizens from local communities.

Two journal articles were subsequently written based upon the 1979 survey data collected. The first article entitled, "Volunteers in Criminal Justice Programs: A Preliminary Report," was published in the *Volunteer Administration Journal*, 13:10-12, Spring, 1980. The article was written by Judge Keith J. Leenhouts, VIP's President and Executive Director at the time, and Dr. Robert T. Sigler, who has been cited previously. The second article entitled, "Satisfaction and Perception of Needs of Managers of Criminal Justice Volunteer Programs: A Preliminary Report," was published in *Volunteer Administration Journal*, 13:13-15, Spring, 1980. This article was also written by Judge Leenhouts and Dr. Sigler. Each of these cited journal articles provided further validation relative to the usefulness of the data generated by the 1979 national survey conducted by VIP.

In 1986, VIP undertook another survey which was not as comprehensive as the 1979 survey. The 1986 survey was more of a sampling of the current status of programs which replied to the 1979 survey and programs VIP knew about which started after 1979. While 50,000 survey cards were mailed in 1979, a total of 5,262 requests were mailed in 1986. The results of this survey validated the results of the 1979 survey and indicated similar numbers of programs, volunteers

and clients being served. In the near future, VIP hopes to undertake an updated national survey to obtain a current picture of the size and state of the volunteer field in juvenile and criminal justice.

Types of Volunteer Programs Which Currently Exist

Over the past three decades, thousands of volunteer programs have been started by judges, probation and parole officers and by concerned citizens from local communities. Today, you can find these programs in almost every segment of the juvenile and criminal justice systems. Volunteer programs are most prevalent in court, probation and parole operations. In these programs you see volunteers involved in a variety of roles. Most common though, you will find trained volunteers working one-to-one with offenders who are under the supervision of the court, probation and/or parole departments. In this capacity, volunteers work hand-in-hand with judges, probation and parole officers, with the common goal of curbing future criminal behavior in the offenders they work with.

Examples of current volunteer programs can be found in communities across the United States and Canada. In Detroit, the Partners Against Crime Program trains community volunteers to work one-to-one with misdemeanant probationers who are referred to the program by judges and prosecutors from Michigan's 36th District Court. Michigan's 36th District Court is the largest court of its kind under one roof with over 31 judges and courtrooms headed by Chief Judge Alex J. Allen, Jr.

In New Orleans, through the efforts of Judge Calvin Johnson, a program was developed called New Orleans Volunteers in Court (NOVIC). Within the NOVIC program you will find trained volunteers matched with felony offenders who are referred by judges within the New Orleans Criminal District Court. In Denver, a program started by a group of judges called Partners, Inc., has over nine chapters which serve over 20,000 youth at risk through involvement in one-to-one relationships with positive, caring adults. The Partners program

serves as a diversionary/probation alternative for the police and Juvenile Court, accepting youth between the ages of 8 and 18 years of age who are at risk of becoming chronic repeat offenders.

In New Jersey, four counties are involved in a collaborative effort with the Family Court involving mentors with juvenile delinquents. In this model, seven to twelve volunteers are mobilized into CARE Teams who are responsible for the management of the same number of youth. Probation officers are then assigned to supervise from two to three CARE Teams, and convene the Team monthly for youth interviews, treatment plan reviews and community networking/linkage of needed services. In London, Ontario, Canada, a volunteer parole model has been developed where trained volunteers are working intensively with parolees. Large or small, urban or rural, juvenile and criminal justice volunteer programs can be found within the basic operations of a vast number of courts, probation and parole departments across the United States and Canada.

Effectiveness of Volunteer Programming

The effectiveness of volunteer programming in juvenile and criminal justice has been validated through independent evaluations which have been conducted on programs across the country. For example, the Partners Program in Denver, Colorado has undergone a total of six (6) independent research studies. The studies have consistently shown the Partners group to have a recidivism rate 42% lower than a comparison, non-Partner matched group.

In California, a program called M-2 Sponsors, has matched tens of thousands of trained volunteers with adult and juvenile offenders in institutions throughout California. Its target population is inmates who are completely isolated (alienated) from the outside world. In 1987, the California Department of Corrections contracted with EMT Associates to conduct an independent evaluation of the M-2 program to determine the effect the program was having on parole success. The study demonstrated

that inmates receiving 12 or more M-2 visits showed an 81% improvement in parole success after 24 months as compared to a non-matched group.

Other independent studies conducted on volunteer programs have demonstrated similar results. In Royal Oak, Michigan, the misdemeanor court maintained a remarkable 7% *recidivism rate* with offenders who, besides receiving a sentence of probation, were also paired with a trained one-to-one volunteer. This compared to a recidivism rate of 70% in a court which did not utilize volunteers. In a juvenile mentoring program in New Jersey, recidivism was reduced by 50% in youth placed in the program. Consistently, the intelligent and strategic use of well-trained volunteers has allowed courts, prisons, after-care programs, probation and parole departments to increase their effectiveness more than eleven times over for very little added monetary cost.

Today's Need for Volunteer Programming

Today's need for volunteer support within courts, prisons, jails, probation and parole departments is greater than ever. Our obsessive focus on prison and jail construction programs is having a devastating impact on the budgets of courts, probation and parole departments across the nation. This is resulting in overflowing court dockets along with the increasing use of probation to catch the overflow of prison and jail overcrowding. Probation and parole personnel are having to take on greater caseloads, often at the cost of supervising probationers less carefully.

These conditions are forcing juvenile and criminal justice practitioners to face a severe dilemma. With court dockets overflowing, probation and parole caseloads increasing, and at the same time budgets shrinking, the system must rethink its response to offenders. This is an area in which community volunteers can be amassed into a powerful force to help in a variety of ways either indirectly, in administrative capacities, or directly, in one-to-one roles, in support of offenders who are under court, probation or parole supervision.

One thing is for certain, within each of our communities lies a powerful, untapped resource which must be awakened and then involved more directly in our "community corrections" strategies if we are going to ever effectively deal with the problem of crime on a national level. That powerful resource is the community itself and includes everyone who lives within its boundaries.

Resources Which Exist That Can Help

Judges, probation or parole officers, or concerned citizens from the community who might be interested in researching or starting new volunteer programs or who might be interested in expanding existing programs, have a vast universe of information and resources available to them to assist them in their efforts. Model programs, recruitment resources, training materials and consultants are readily available to help answer questions and provide guidance in volunteer program development.

One resource which Volunteers in Prevention, Probation and Prisons Incorporated (VIP) has initiated is an International Communications Network of Justice Volunteer Programs. The International Communications Network (ICN) is comprised of agencies and organizations who utilize volunteers to some capacity within their program services. ICN was developed for the purpose of expanding volunteer program capacities through the exchange of information and resources with other programs.

ICN has also become a valuable technical assistance resource for emerging and/or existing volunteer programs who, through the Network, are mentored/networked with other programs which are programmatically similar to theirs. In this clearinghouse capacity, VIP is able to provide international linkages between existing programs or existing and emerging volunteer programs for the purpose of helping these programs obtain the technical assistance and resources each needs to develop more fully.

Our Call and Challenge

The intelligent use of well-trained volunteers in juvenile and criminal justice

programs has time and again been proven to be effective in enhancing services which are provided by courts, jails, prisons, probation and parole departments across the United States and Canada. Today, we live in an age where crime is escalating and common everyday people in every community across this country are asking the same question to those in leadership roles: "What can we as citizens do to help fight crime, drugs and violence in our community?"

In a time of shrinking budgets and

There is certainly no greater time in the history of our nation to put the "community" back into community corrections.

increasing caseloads and court dockets, these community volunteers may well be the "sleeping giant" to be awakened by those serving in leadership roles within our juvenile and criminal justice systems. There is certainly no greater time in the history of our nation to put the "community" back into community corrections.

More Information About VIP and Its Services

VIP's mission calls it to assist those who seek to develop new volunteer-based programs or who seek to expand existing volunteer-based programs, including the use of 'one-to-one' volunteers, which are designed to provide services to clients accused, convicted or at-risk for involvement in the juvenile or criminal justice systems. To fulfill its mission, VIP has developed resources, international networks and linkage services which can help you, whether you are currently looking to expand your use of volunteers or simply exploring the feasibility of incorporating volunteers into your agency services. For assistance, including a list of resources and services currently available, contact:

Volunteers in Prevention, Probation & Prisons, Inc.
163 Madison Avenue — Suite 120
Detroit, Michigan 48226
(313) 964-1110
fax: (313)964-1145. □

VISION *ad*.dVENTURES

Office of Justice Programs Responds to APPA's Vision

Thank you for your letter to the Assistant Attorney General concerning community corrections. The American Probation and Parole Association's vision statement reflects a balanced and important perspective on the issues of crime control and how society deals with both victims and offenders. Such partnerships are essential if we are to have a comprehensive approach that understands the essential role of community corrections.

You are clearly accurate when you say that most offenders are managed at the community level, and it is equally clear that institutions cannot house all of society's offenders. Secure beds are a finite resource that must be managed through a comprehensive plan that utilizes rehabilitative correctional programs, including a continuum of services. While secure confinement and truth in sentencing are primary areas of focus for the Crime Act, it is very important that the voice of APPA remain "loud and clear."

OJP welcomes your invitation to participate in or respond to issues related to your vision statement and strategic planning. Staff assigned to our Corrections Program Office will be encouraged to attend your conferences or otherwise be available as desired.

Thank you for sharing your thoughts and vision statement.

Larry R. Meachum
Director of Corrections
Programs
U.S. Department of Justice,
Office of Justice Programs

APPA's VISION

We see a fair, just and safe society where community partnerships are restoring hope by embracing a balance of prevention, intervention and advocacy.

Agencies Develop Vision to Guide Operations

Many agencies have developed Vision statements specific to their jurisdictions. Most of these are highly consistent with APPA's Vision; some deviate slightly to address agency priorities. We commend these agencies for completing this highly inclusive process. We encourage other agencies to send us the results of their Vision development processes. If your agency has not developed a Vision, we hope you will do so. The benefits are tremendous.

From the Connecticut Office of Adult Probation:

The Office of Adult Probation in Connecticut supports and applauds APPA's recent Vision efforts. This Office has undertaken a similar process and while the words may be different, certainly the concepts are the same. With the able assistance of Consultant Fahy Mullaney, and APPA's and NIC's assistance, Connecticut's Vision process included its entire staff of 400 individuals. Representatives from each job classification drafted the actual Vision elements and presented them to their peers via field office presentations.

As with APPA's Vision, the work was not complete with the creation of a Vision. Connecticut then revisited its ten year old Mission Statement, developed a number of objectives, and is presently determining both agency and field office strategies.

Having experienced first hand the hard work in reaching consensus on these critical issues with a staff of 400, it seems almost an impossibility that APPA has been able to create and thus far sustain enthusiasm for its Vision process. I personally feel that this process of rethinking, recreating, revisiting and reexamining its basic values and functions is necessary to the good health of both APPA and the profession as a whole.

Robert J. Bosco
Director
Connecticut Office of Adult
Probation

The Connecticut Office of Adult Probation is an agency that:

- Is committed to the probationer's success
- Provides every probationer with the knowledge and skills to promote positive changes in their lives
- Is committed to a safer world through partnership with the community
- Has a diverse staff that works in an environment of mutual respect, open communication and trust
- Encourages leadership to be exercised by all
- Protects the community through the rehabilitation of the probationer
- Provides opportunities for personal and professional growth that is encouraged and recognized.

The entire Connecticut Office of Adult Probation staff participated in the forging of this vision and assume responsibility for attaining it!

Colorado Probation: Statement of Common Ground

Colorado Probation is committed to a system of justice and restoration for the community, the offender, and the victims of crime. We guide and shape pro-social behavior through a continuum of sanctions and services in partnership with the larger community.

As such, Colorado Probation provides:

- Necessary surveillance and control to protect the community and deter future victimization

- Effective evaluation and offender assessments assisting the court in sentencing offenders to the most appropriate sanction and treatment program

- Services that directly address the reduction in criminal behavior

- An efficient system of victim compensation

- An environment that respects the dignity of all staff, victims and offenders.

Missouri Board of Probation and Parole:

Vision Statement: Recognizing the worth and dignity of all individuals, our organization is dedicated to creating a dynamic environment committed to working successfully with offenders to establish productive lives.

Values and Principles:

Professional Staff: We recognize the absolute value of our staff by providing them with the opportunity and responsibility to make and implement critical decisions regarding offenders under their supervision in a principled, ethical and responsible manner. We recognize that it is our professional staff that will make the vision possible.

Effective Offender Management: Through a thorough assessment process, the Division provides the most appropriate and effective environment for the offender which balances control and treatment concerns.

Community Partnership: Through effective partnerships of shared values and concerns for public safety, staff assist communities in successful reintegration of offenders. We recognize that the

community plays a key role in the successful treatment and control of the offender.

Productive Successful Environment: The leadership of Probation and Parole shall create and maintain an environment that ensures professional staff, successful offenders and a participating community.

Human Worth and Dignity: We shall value the human worth and dignity of all staff and offenders through fair treatment, promoting respect for the individual and recognizing diversity and individual rights.

Organizations Pledge Support for APPA's Vision

The organizations named below have pledged their support to APPA's Vision through ongoing organizational collaboration of ideas and information:

American Correctional Association
International Association of Residential and Community Alternatives
International Society of Crime Prevention Practitioners, Inc.
Juvenile Justice Trainers Association
National Association of Pretrial Service Agencies
National Association of Probation Executives
National Crime Prevention Council
Volunteers in Prevention, Probation and Prisons, Inc.
Volunteers of America, Inc.

As part of our ongoing efforts to promote APPA's Vision, agencies and Board members have been asked to respond to our statement. The letters printed here represent some of the responses received. We invite all of our colleagues to share what they're doing to make our Vision a reality. Send your responses to:

Vision Ventures
APPA
P.O. Box 11910
Lexington, KY 40578-1910

Bill of Rights for Peace Officers

Major elements of our Vision for community corrections include the need to treat all persons with dignity and respect and to empower staff in an environment of honesty, inclusion and respect for differences. What better way is there to "live" these elements than by developing and supporting a Bill of Rights for Peace Officers.

We tip our hat to the Pennsylvania Association of Probation, Parole and Corrections, an APPA affiliate, for their work in developing this outstanding treatise on behalf of all peace officers, particularly those in Pennsylvania. Thanks for a job well done! We encourage other affiliates and agencies to adopt and practice similar policies germane to your own jurisdictions. This is what "living our Vision" is all about.

The following is a position paper adopted by the Pennsylvania Association on Probation, Parole, and Corrections (PAPPC) on The "Bill of Rights for Peace Officers." This initial step marks a major accomplishment in publicly acknowledging the need to improve upon rights of Peace Officers by providing a vision to strive towards. Under the direction of Darlene Zelazny, President of PAPPC (1993-1994) an ad hoc committee was formed to address these concerns. Committee members were appointed to represent the state and county probation and parole systems for both adult and juvenile. The Committee members include: Fred Jacobs (Chairperson), Robert Pryal, James Smith, Stover Clark, Mary Beth Marschik, and David Sheely. Through their commitment and dedication, PAPPC is proud to present the position paper on "Bill Rights for Peace Officers."

Darlene E. Zelazny
Executive Assistant
Pennsylvania Board of
Probation and Parole

Preamble

Assertion and recognition of the rights of persons employed as probation and parole field workers in the Commonwealth of Pennsylvania will require change and accountability for all jurisdictions who employ these workers. As recognized in the Position Statement of the American Probation and Parole Association dealing with Staff Safety Standards, "...community corrections personnel work in a volatile and potentially danger-

ous environment which requires that individuals and their agencies take every precaution to provide and protect staff in the office and in the field." It is noted that much of the research supporting this conclusion was done between the years 1988 and 1990 in Pennsylvania (Parsonage, Miller, Bushey).

Traditional methods of doing things are being re-examined. Myths about probation and parole supervision need to be addressed. The courts and state and federal statutes have provided rights to offenders and rights to victims of crime, but have been silent with regard to persons working in field supervision activities with often violent criminals. The public should be able to expect these workers to be uniquely qualified, properly trained, properly equipped, and have workloads that are manageable consistent with the goals of public safety and offender reintegration into society. The workers themselves should be able to expect all of the above, without interruption, regardless of which local, state, or federal agency happens to be their employer at any given time. Ideally, in an enlightened administrative and labor relations environment this should be of primary concern, but reality tells us that the rights of workers in probation and parole have traditionally been less than a high priority. This has to change if we are to expect anything more of our community corrections system of probation and parole supervision.

While recognizing that people are the most effective resource for helping other people, in probation and parole they are

also the most underutilized and misappropriated resource simply because they haven't been given the proper recognition for the jobs they perform by those responsible for financing and managing probation and parole agencies.

Law is the foundation on which a good probation and parole system is based. Without a good statutory foundation, an effective system is not possible. Even so, good laws do not assure good administration. Appropriate programs may be authorized or mandated, but substandard funding, staffing, and administration frequently cause their demise. Inadequate funding has been the most significant problem in probation and parole in the last twenty-five (25) years. It is critical to the community corrections system of probation and parole that this must be recognized and changed.

For purposes of this document, the term employee includes all juvenile and adult probation and parole officers working in field supervision activities regardless of whether they have legally defined peace officer status. The focus is to provide, for these employees, an environment conducive to productivity in carrying out job duties under the most enlightened circumstances possible. This paper sets an agenda in the following areas: employee development; work environment and safety; legal rights and liability issues; and compensation, benefits and retirement.

Employee Development

- Employees should be provided with opportunities for advancement within the system, lateral entry and promotional mobility within jurisdictions and across jurisdictional lines.

- All probation and parole officers who receive appropriate training covering the use, safety, and care of weapons in addition to the legal aspects of use of force shall be authorized to carry agency approved firearms and/or chemical agents.

- All probation and parole officers shall be properly trained in arrest practices prior to being authorized to arrest offenders being supervised by their respective agency.

- All probation and parole officers shall be properly trained in the knowledge base and skills required to effec-

tively perform all assigned duties.

- Each employee should be able to expect to work in an organization/agency that has the capability of accomplishing promotion from within the system through a carefully designed and properly implemented career development program.

Work Environment and Safety Issues

- All agencies should strive to provide an organizational climate which recruits and grooms employees with attitudes and values which identify substantially with the attitudes and values represented by the organization/agency. These employees should be encouraged to accept responsibility for self-direction and self-discipline consistent with agency goals and objectives.

- A functional workload system which provides a direct linkage between client classifications and specific tasks should form the basis for workload budgeting and the allocation of resources to carry out the mission of the agency. An "escalator" clause in the enabling legislation would allow for an immediate appropriation to hire manpower consistent with previously approved workload levels.

- Employment in an organization/agency should be totally free of political influence.

- Employees should be able to expect appropriate recognition for jobs well done.

- Agencies should continually strive to provide an open problem-solving climate in which all employees share in identifying problems, finding mutually agreeable solutions, setting goals and objectives, and evaluating outcomes to assure consistency with the mission of the agency.

- All probation and parole agencies should have policies and procedures related to staff safety including investigation and response to critical incidents.

- All probation and parole agencies should provide adequate safety training for staff and also provide the safety equipment that is necessary to safely perform duties and responsibilities within the framework of supervision and workload management standards prescribed by the agency.

- All employees should have access to or a method to communicate concerns to a Safety Committee integral to each agency employing probation and parole

workers.

- Agencies should be equipped with comparable security measures and equipment used in prisons and courthouses to control the movement of clients within the office environment.

Legal Rights and Liability Issues

- Just as offenders' rights and victims' rights have been developed which have increased accountability in probation/parole supervision and practices, the rights of juvenile and adult probation and parole field supervision staff should also be defined, manifested in principles, and codified to guarantee substantive rights of employees. The development and implementation of rights for employees is consistent with sound administrative practice.

- Laws should be created to protect probation and parole supervision staff from being arbitrarily named in civil suits filed by offenders or third parties who may have been injured by an offender under the supervision of a probation or parole officer.

- Laws should be created to provide qualified immunity to probation and parole staff when performing discretionary functions even though federal courts have held to this principle in the past.

- Laws should be passed to provide absolute immunity to probation and parole staff who conduct due process hearings in addition to supervising cases. Absolute immunity would only apply to the performance of hearing examiner functions while qualified immunity would apply to supervision functions.

- All probation and parole agencies shall have policies and procedures in place to receive and investigate complaints.

- All probation and parole agencies should have policies and procedures in place to protect the rights of employees under investigation for any reason which could lead to disciplinary action up to and including termination.

- All employees shall have the right to bring civil suit for damages suffered during the performance of official duties or for abridgment of the civil rights of the employee arising out of the performance of official duties. Any retaliation for exercising this right should be specifically prohibited.

Compensation, Benefits, and Retirement

- Employee salaries and benefit packages should be competitive with other parts of the criminal justice system as well as with comparable occupational groups in the private sector. Annual cost of living adjustments should be mandatory.

- A statewide pension system modeled after the State Employees Retirement System (SERS) should be implemented for all juvenile and adult probation and parole field staff whether employed by state or local (county) jurisdictions to enable ease of movement within the criminal justice system without penalty for job change. All state and local (county) jurisdictions would have to work within this single pension system/program for all eligible employees.

- Existing law should be amended to cover above eligible employees in an age 50 early retirement program, and to further classify all eligible employees as being further compensated for "hazardous duty" employment by providing at least a 15% incentive at the time of retirement, e.g. 20 years + 15% = 23 years for retirement purposes.

- Vested rights in a pension system should not inhibit employees from moving from one agency to another. Benefits and annuities should accompany employees from one agency to another.

By developing an action plan that embraces the issues raised in this document, we can clearly acknowledge that probation and parole field supervision workers indeed deserve to have a "bill of rights" acknowledging their importance as the backbone of community corrections in Pennsylvania. Implementation strategies are necessary to address broad major issues these employees deal with on an everyday basis. The standards by which our probation and parole system should be judged should include not only the rights of access to administrative and appellate remedies for offenders, the rights of crime victims to be involved in the criminal justice process, the rights of communities to be protected from offenders released from confinement, but also the rights of employees to assure the ability to do their jobs and to be treated fairly and with dignity. □

Bill of Rights for Peace Officers

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also the most underutilized and misappropriated resource simply because they haven't been given the proper recognition for the jobs they perform by those responsible for financing and managing probation and parole agencies.

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Messages from APPA's Leadership

The close of the 20th Annual Training Institute marked the inauguration of the new leadership of the American Probation and Parole Association. In the following messages, members of the Executive Committee and the Board of Directors articulate their enthusiastic dedication to APPA's future and its Vision.



Rocco Pozzi
President

APPA's full plate for the next two years reflects a mixed and changing menu.

I have already made decisions and taken actions to lay a foundation for my term as President reflecting my commitment to carry out my 1993 campaign agenda while building on APPA's accomplishments. These actions include reappointing Mike Cavanaugh as chair of the Victims Committee with a charge to continue APPA's aggressive national involvement in victims issues while developing a plan of action consistent with our Vision. I have appointed Rich Kipp to chair the Safety Committee which has the assignment of making APPA's various safety-related positions operational. In terms of my campaign issue for increased visibility and advocacy for community corrections, a recommendation to hire a half-time employee will hopefully be supported by our Board of Directors. Finally, I am going forward with your efforts as captured in our Vision process. Consistent with this, I have established a committee to be chaired by past-president Nancy Lick to identify the role of probation and parole in crime prevention. Additionally, I'll be appoint-

ing a group to design a strategic plan to implement elements of the Vision by the 1996 mid-winter meeting.

There are exciting times ahead and I challenge you to join with me and the rest of your colleagues in dealing with this full plate.



Annette Henderson
President-Elect

It is with honor (and some hesitation!) that I take the office of President-Elect of APPA. I believe APPA is an outstanding professional organization with a worthy Vision and, thanks to the example set by Al Schuman and others in similar positions, I am motivated and will commit to carry on the directions we have embraced.

I strongly believe in and am committed to APPA's bold Vision. The challenge now lies in moving our current professional realities toward our preferred future. The question becomes: how?

I know of no other way to influence needed internal and external changes than to involve the professionals "doing the work." This includes line officers and administrators, as well as academicians. Collectively, we must own and educate

others about our shared Vision, and hold ourselves accountable for modeling the values in which we have stated we believe. Together, we must:

- continue to address safety issues and other professional development support for our membership;
 - continue to determine through research "what works" in holding offenders accountable and influencing long term behavior change, and implement or adjust supervision practices accordingly;
 - develop specific strategies to shift current practices to include more prevention, intervention and advocacy initiatives, especially in the area of juvenile justice;
 - increase the amount of quality specialized training provided which improves our ability to more effectively manage offenders, and continue educating membership through timely and state-of-the-art publications;
 - initiate purposeful partnerships with any and all who share ownership in the public safety mission, including the private sector;
 - support the increasing inclusion of and sensitivity to the victim's perspective in determining effective and fair sentences;
 - initiate formal and informal organizational mentoring and leadership development activities to attract more committed professionals into APPA's membership; and
 - introduce an assertive community education plan which targets educating the public on our Mission/Vision and needs, and gets their support in advocating for necessary changes and resources.
- Through these varied activities, APPA can become a stronger national voice and influence community attitudes, as well as the political winds whose short-sighted, sound-bite response to crime

greatly impacts our business. Professional organizations like APPA must stand up and speak out on what we know is needed to focus on the root causes of criminal behavior, and to collectively work with the community on preventing and reducing offending behavior of all kinds.

I believe through these efforts **we** can help create Community Safety and Justice For All!

Mario A. Pappozzi *Vice President*

During my term as Vice President, I will work toward turning the tide of criminal justice policy from one of thoughtless pursuit of incarcerative public safety strategies to thoughtful and purposive implementation of community corrections approaches to enhancing public safety.

It is imperative that probation and parole officers continually define the vital role that they play in the spectrum of criminal justice service. The unique functions of probation and parole provide opportunities to serve many constituencies — for example: victims, the general public and criminal offenders. In fulfilling its mission, probation and parole officers often find it necessary to explain why it is important to provide services to one particular constituency group at any given time. Of paramount importance, and at the foundation of the explanation proffered, is the fundamental belief in public safety and justice for *all*.

It is the forgoing sentiment that the American Probation and Parole Association has captured in its Vision for the future. Over the next few years I will be striving to make this Vision a reality in the everyday practice of probation and parole.

Diana Colloton *Secretary*

I have enjoyed serving as Secretary of the American Probation and Parole Association and being on the Executive Committee. I have met many new members and established members of APPA, and have gained tremendously from the exposure to new ideas and new friends.

Two years ago when I was first elected Secretary of APPA, my goal was to contribute my experience and skills in visionary approaches to further the development of APPA as an innovative and progressive organization. I have committed my time to furthering the vision of both my department and of APPA. In the past two years, I co-facilitated three visionary training sessions for the members of APPA and facilitated visionary leadership in Ft. Collins Probation Department in Colorado in addition to facilitating a visionary leadership workshop at Colorado's Probation Institute. During this coming year I will work to extend APPA's Vision by assisting in developing strategic planning that will enhance the implementation of APPA's Vision.

Through my on-going work on Vision in my department and for APPA, I will be in a good position to assist in expanding APPA's Vision. I have benefitted from having served as Secretary and look forward to meeting more new and on-going members of APPA.

Mickey Neel *Treasurer*

As the new treasurer of the American Probation and Parole Association, I am honored and humbled to be part of the Executive Committee. APPA has been an important part of my life for the last decade. I have had the great fortune to be an APPA member and previously a member of the association staff. These experiences provide me with knowledge and insight not usually available to officers of a membership-based organization.

Community corrections is changing much faster than we as professionals can integrate into the system. We are routinely expected to do much more with much less. These expectations are placed upon us by persons with little or no knowledge of what probation or parole is. It is incumbent upon us as members of APPA to advocate for our profession.

A primary goal during my tenure as Treasurer of APPA is to be an advocate for our profession. The criminal justice system in this country is a complex structure. A primary component of the structure is probation and parole. If community supervision were to cease to exist,

the system would be immobilized.

In order to work toward APPA's Vision of a *fair, just and safe society*, I believe that those of us in the field of probation and parole must more actively explain our purpose and effectiveness to the public. This requires advocacy on the part of individuals, and requires recruiting more association members who will advocate for our profession.

A secondary goal that I hope to accomplish during my tenure as Treasurer is to create an arena in which differing views on our profession can be expressed. It is my belief that our association vision should be ever-evolving. In order to continue its evolution, the membership needs to be able to express its ideas and beliefs, both the controversial and non-controversial ones. APPA is a membership-based association; the ideas of individual members are vital to the life of the association. APPA's leadership should be open to and longing for direction and guidance from its membership.

I look forward to working with you and other members of APPA to create a stronger, more effective association that serves its members. I would encourage you as a member of the association to call me whenever you need information from me as the association Treasurer or have an idea about which you feel the Executive Committee needs to be informed. Together we can create a strong and powerful membership-based association.



Paula J. Keating *Region 1 Representative*

It is with great honor that I accept the position as Regional Representative for Region 1. While attending my first An-

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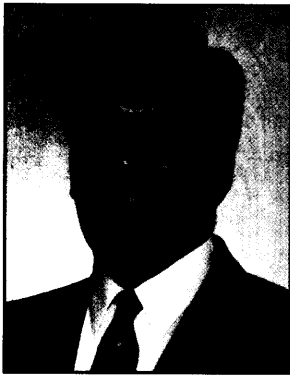
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making bodies. And our communities need to be involved in the development of community solutions so they can trust probation and parole services to protect and support their interests while they support our commitment to assisting the offenders who live in the communities.



Gary W. Yates
Region 5 Representative

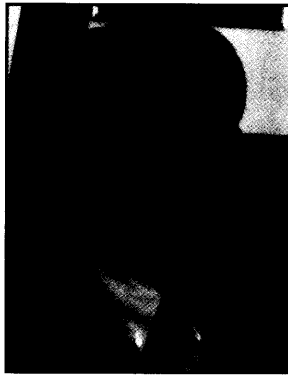
As a regional representative on the Board of Directors of the American Probation and Parole Association for Region 5, which encompasses the state of Ohio, I hope to continue the work I began while an affiliate representative representing the Ohio Chief Probation Officers' Association. My goal is to encourage and increase APPA membership within Region 5 and to continue to bring APPA into the state of Ohio to broaden our partnerships with the stakeholders in the criminal justice community. To accomplish this goal, I will work with APPA's membership committee and with current APPA members in the state of Ohio, and will organize affiliate memberships within the region whenever the opportunity arises.

John Robinson
Region 9 Representative
(Statement not available)

Karen Dunlap
Region 11 Representative

As representative for Region 11, I will work with the elected APPA officers and

the Board of Directors to further the Vision of APPA and to face the challenges that the future will bring to our organization.



Larance E. Coleman
Region 12 Representative

It is my great pleasure to serve as APPA's Region 12 representative for the probation and parole professionals within the great state of Texas. In doing so, I am committing my time and energy necessary to fulfill this position for the next six years.

As a 24-year veteran probation officer, I am wholly committed to the Vision statement recently adopted by APPA. It specifically delineates the purpose that I have pursued as a line officer, line supervisor and administrator. Since 1971, I have believed that a probation officer's mission is to protect the public by facilitating an offender's positive change in attitude and behavior. As Director/Chief Probation Officer of the Harris County Community Supervision and Corrections Department, I have had the occasion to oversee the design and completion of a full range of sanctions and services for probationers, which has produced a major reduction in the number of offenders sentenced to prison, creating an opportunity for individuals to become productive, law-abiding citizens. □

Conference Announcement

"Research to Results: The Challenge"

October 11-14, 1995

Ottawa, Ontario, Canada

Widely reported instances of exceptional crimes contribute to public fear about the type and level of crime generally, and promote a political response to get tougher with criminals. This has led to an increasing reliance on imprisonment as a central public protection policy, with its attendant human and financial costs, despite the lack of any evidence of a reduction in either public fear or rates of crime.

The International Association of Residential and Community Alternatives, through a series of three research conferences, has undertaken a systematic review of policies and practices which work to improve public safety by reducing levels of criminal conduct. The first two conferences examined general principles of effective risk assessment and treatment and reviewed effective treatment approaches for particular offender populations.

The upcoming conference, entitled *Research to Results: The Challenge*, is to be held from October 11-14 in Ottawa Canada. This conference provides a forum for internationally acclaimed researchers to link principles and examples of effective correctional programs with strategies to design and implement what works. The two central themes of the conference are:

1. What makes for successful program design (how can practitioners go about designing a program that incorporates the right tools for the right population).
2. How do we adapt successful program design (how can practitioners implement options that work, but may not be politically popular and may involve some risk).

An additional panel of prominent citizens will assist researchers and delegates in probing community needs and political realities as they relate to the implementation of programs and services that work. Research briefs and keynote presentations will be assembled in a post-conference publication which will be of great interest to both community corrections practitioners and policy makers.

For further information, contact:
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