



Are Prisons Effective?

THE COSTS OF CORRECTIONS

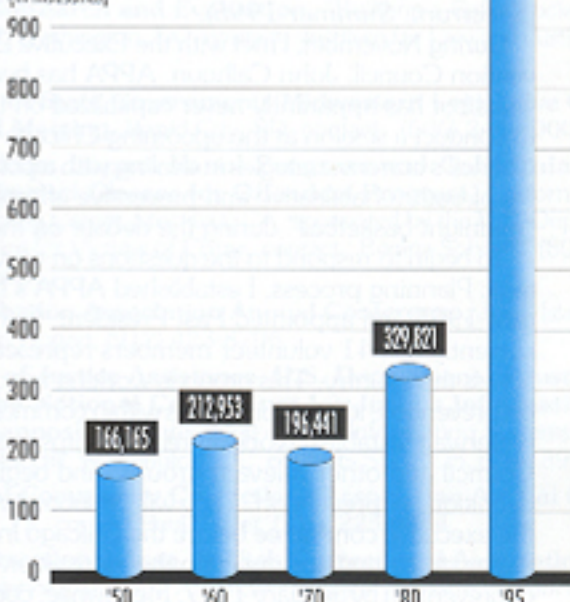
(in billions of dollars)



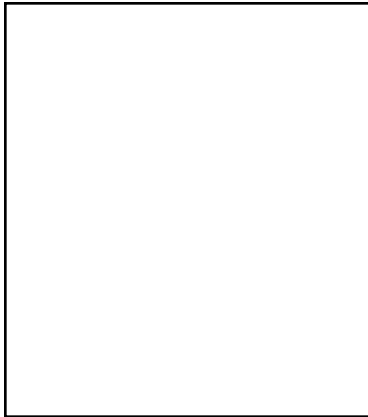
Note: Spending includes outlays for prison construction, maintenance, operation and related costs, including those for probation and parole. Source: Bureau of Justice Statistics.

U. S. FEDERAL & STATE PRISON POPULATION, 1950-1995

(in thousands)



Note: Figures do not account for persons in county jails, which, in 1994, totaled nearly one-half million. Source: Bureau of Justice Statistics.



President's Message

Rocco A. Pozzi

The APPA Vision has presented a series of challenges to the association. Prior to the Strategic Planning activities that I have described in earlier reports in *Perspectives*, the question was raised on what the association meant by the word "prevention" in the vision statement: "We see a fair, just and safe society, where community partnerships are restoring hope by embracing a balance of prevention, intervention and advocacy." Although our field has determined that we are in the "prevention" business through the exhaustive vision process, I have not been able to find too many of us who agree on just what this "business" is or should be. To me, the fundamental questions are, what is the association's position on prevention and, subsequently, how will this position impact on our field's traditional roles?

Barry Nidorf, Chief Probation Officer of Los Angeles and a member of the APPA Board of Directors, has been an early advocate of our involvement in prevention: "With prevention the only realistic way to impact crime, it is imperative that we devise programs that really are preventive and that can be shown to work." He has also said, "Prevention, everyone is beginning to agree, is the only way to really reduce crime. But we must stop just agreeing about the benefits of prevention and begin to act. We need to create and fund prevention programs that work. We talk a good 'prevention game,' but are we really ready to adopt a policy that can work?" His position is supported by Joan Petersilia who wrote, "... elected government officials have recently proposed spending more funds on prison construction at the expense of prevention programs. Taking such a reactive approach does not deter young people from becoming criminals, nor does it address the majority of criminals - those serving sentences on probation and parole" (*Spectrum*, Summer 1995).

During November, I met with the Executive Director of the National Crime Prevention Council, John Calhoun. APPA has been a Council member for over 10 years but has apparently never capitalized on this involvement. John has agreed to conduct a session at the upcoming Chicago Institute where he will present the Council's current strategies in dealing with a political climate which is non-supportive of both rehabilitative and preventive efforts as demonstrated by the focus on "midnight basketball" during the debate on the last federal crime bill.

To begin to respond to the questions on prevention raised by the Vision's Strategic Planning process, I established APPA's first Prevention Committee in August 1995 and appointed Past President, Nancy Lick, as chair. The committee currently has 41 volunteer members representing all aspects of our field from across the country. This group is working to collect and review existing literature on prevention, identify programs within community corrections which are currently underway, establish working relationships with the National Crime Prevention Council and other relevant groups, and begin to survey the field for working definitions of prevention. They will be submitting an issue paper on prevention to the executive committee before the Chicago Institute and plan to have a working paper structuring and directing the association's growing involvement in the field of prevention by January 1997. Meanwhile, committee member Dee Bell of Georgia will be contacting all affiliate representatives to the board of directors to have their respective memberships complete a brief survey which eventually readers of

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

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ISSN 0821-1507

Published four times yearly by APPA
through its secretariat office in
Lexington, Kentucky.

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President's Message *from page 2*

Perspectives will be asked to complete. The two points of agreement among the committee's members are that they are approaching their tasks with an openness to non-traditional roles and that prevention responsibilities are not limited to juvenile probation. Anyone wishing to work with this committee or having comments on prevention which they want to share should contact Nancy Lick at (914) 285-2296, or fax her at (914) 285-3507.

In further support of the APPA Vision, I was pleased to have APPA support a meeting of the individuals involved in the restorative justice movement during our mid-winter conference in Portland. Under the guidance of Gordon Bazemore, Dennis Maloney and others, this group is helping to lead the way to exploring a new paradigm of probation and parole which is consistent with our Vision. Rather than maintaining offender-driven systems, their work in projects such as the Balance and Restorative Justice (BARJ) model as funded by the Office of Juvenile Justice and Delinquency Prevention emphasizes victims, offenders and the community, while addressing issues of accountability, competency development in offenders and community safety. The legislative initiatives in Florida, Minnesota and Oregon which support statewide implementation of 'balanced' approaches critical to restorative justice are worthy of monitoring.

In discussing the challenges which APPA faces in implementing our Vision, I am reminded of the comment by Hunter Hurst, Director of the National Center for Juvenile Justice, "The quest for safe communities is a challenge for distance runners, not sprinters . . ." Those of you who know me realize that this concept is a tough one for me to accept because I want results and action now. However, I am somewhat mollified by what I am experiencing throughout our field—not only by what is happening but the people who are leading the way. Again, Barry Nidorf's comments are right on target, "We cannot afford to hold on to failed strategies. To do so allows our communities to continue deteriorating." □

Letter from the Editors

by Robert E. DeComo, Ph.D., Chairman, Editorial Committee

Welcome to the Summer 1996 issue of *Perspectives*. This issue has been specifically released in advance of the Annual Institute in Chicago, June 30-July 3, to allow for membership review and comment on APPA's official position statement on the Interstate Compact. This position statement will be voted on by the membership on July 3 in Chicago. This is the second and final opportunity for membership comments in advance of that vote.

This issue introduces APPA's Strategic Plan which maps the implementation strategy for APPA's vision statement released last year. The Strategic Plan has been developed by Carl Wicklund and the planning committee in conjunction with the board of directors. This plan includes specific goals, objectives, timelines, responsibilities and resources for implementing the vision statement. Further refinement of the plan will occur during the board of directors meeting in Chicago.

Our Corporate Profile introduces two of APPA's new corporate members. These new members are Ameritech, one of the world's largest communications and information management companies, and PharmChem Laboratories, Inc., a leading independent laboratory providing drug testing services.

Turning to APPA news items, Focus on Affiliates includes reports on the Texas Corrections Association which observed its 25th anniversary last year. In addition, the New England Council on Crime and Delinquency announces its most recent award recipients. Finally, we also report on the White House Leadership Conference on Youth, Drug use and Violence which was attended by APPA Research Associate Tracy Godwin.

APPA announces the publication of its manual entitled, "Managing Sex Offenders: A Containment Approach." This manual, sponsored by the National

Institute of Justice, represents an inventory of state-of-the-art knowledge and practice regarding the handling of sex offenders. In Forum, the Hunt County, Texas Community Supervision and Corrections Department reports on its efforts to implement APPA's performance-based measures in all areas of its operations. Finally, the Dallas County Community Supervision and Corrections Department reports on its experiences with implementing advanced computerization into its operations.

Concluding our regular features in this issue are the NIC update and NIJ column. NIC Community Corrections Division Chief George Keiser offers a message of gratitude for those who supported NIC's continuation and discusses plans for its transition under the operations of the Federal Bureau of Prisons. From NIJ, Ed Zedlewski offers his view on the expanded use of drug testing brought about by improvements in technology, research and field experiences.

Turning to our special feature, our first has been contributed by Ken Schoen and Julie Peterson of the Edna McConnell Clark Foundation. Originally published in the Council of State Governments' *Spectrum* magazine, "How Powerful is Prison as a Crime Fighting Tool?" provides a detailed look at the relationship between the use of incarceration and crime rates. The article concludes with recommendations regarding crime control strategies.

Our second special feature has been contributed by Dr. Michael Connelly, Senior Research Analyst with the Oklahoma Truth in Sentencing Policy Advisory Commission. Dr. Connelly reports on the evaluation results of correctional volunteer programs in three states. Given the expansion of volunteer programs in recent years, this article will be useful to practitioners by pointing out the strengths and weaknesses of these

programs as well as directions for improvements.

The last special feature for this issue is entitled "Victim Offender Mediation: From the Margins to the Mainstream" by Dr. Mark Umbreit and Mike Niemeyer. Their article reports on how the field of victim offender mediation is developing, including specific data on some of the largest programs in North America, and reports on key research findings from the growing literature in this field.

In closing, the Editorial Committee encourages you to send us your comments and contributions. See you in Chicago! □

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APPA Staff Member Attends White House Leadership Conference on Youth, Drug Use, and Violence

As a result of her work with APPA's Teen Courts Initiative, sponsored by the National Highway Traffic Safety Administration, Tracy Godwin, a Research Associate for APPA, was invited to attend the *White House Leadership Conference on Youth, Drug Use, and Violence* at Eleanor Roosevelt High School in Greenbelt, Maryland on March 7, 1996. The conference brought together young people and an assortment of youth service professionals including police officers, teachers, juvenile court personnel, and social workers to discuss strategies to strengthen the efforts of family, the media, communities, and businesses to reduce drug use and violence and help youth make positive life choices.

Morning events included a roundtable discussion concerning Youth and Parent Perspectives on Reducing Ado-

lescent Drug Use and Violence, co-facilitated by Barry McCaffrey, Director of the Office of National Drug Control Policy and Henry Cisneros, Secretary of Housing and Urban Development; a brief address by President Clinton to the students of Eleanor Roosevelt High School; and a Presidential Roundtable discussion on Promising Strategies to Reduce Youth Drug Use and Violence. Conference attendees spent the afternoon in small groups, which were moderated by various Cabinet members and their staff, to identify and prioritize strategies that could be implemented in collaboration with the federal government.

Recommendations and strategies identified during the conference will be incorporated into a report which will be made available to the public sometime in the near future. □

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 Production Coordinator, *Perspectives* Magazine, P.O. Box 11910, Lexington, KY 40578, in accordance with the following deadlines:

Winter 1997 Issue	September 20, 1996
Spring 1997 Issue	December 12, 1996
Summer 1997	March 20, 1997
Fall 1997 Issue	June 20, 1997

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.



Tracy Godwin meets President Clinton at a White House reception for attendees of the Leadership Conference.

Forum

Hunt County, Texas Puts Performance-Based Measures to Work

by Margaret Griffin, Specialized Caseload Officer, Community Supervision & Corrections Department, Hunt County, Texas

The Hunt County Community Supervision and Corrections Department, as with most supervision departments throughout the state of Texas, has experienced substantial growth in the population of offenders being supervised during the past 5-7 years. Increasing demands for rehabilitation programs as well as methods for monitoring offenders and providing for the protection of the community have brought about significant changes in the operation of community supervision departments such as ours. Budget constraints (doing more with less), accountability to the public, serving the needs of the courts, victims of crime, and the offenders themselves are but a few of the challenges facing those in the criminal justice field today.

The implementation of programs, broadening of referral sources, and greater involvement of the supervision officers in promoting change in the offender has resulted in a much greater number of activities or "things being done" to accomplish the stated goals. However, to become increasingly effective and ever more efficient, a greater degree and measurement of results is needed. Beyond justification of supervision effectiveness, proper measurement and evaluation of results provides the impetus for changing programs as needed to make them more effective and efficient.

Primary organizational enhancements for the Hunt County Community Supervision and Corrections Department include the implementation of Performance-Based Measures. *Results-Driven Management: Implementing Performance-Based Mea-*

asures In Community Corrections, a publication by the American Probation and Parole Association, has been the driving force and main source of information through which this department has begun to implement change.

The department's director, Larry D. McKinney, has been instrumental in the change that has occurred in Hunt County's Community Supervision and Corrections Department. This former English teacher, began making changes at the department in October, 1994, when he became director. One of the first changes within the department was the introduction of a TASK Committee, made up of line officers and support staff, to develop updates, changes and revisions in the policies and procedures of the office. The TASK Committee was based on the idea of Total Quality Management and operated as a tool to give staff a "voice" regarding the direction of the office. A consultant was hired for this group to act as a mediator and assist the group as it tried to reach consensus on difficult issues, such as merit raises, job descriptions and duties, security procedures, field visits, etc. A hiring committee was also established. This committee, composed again of line staff and support staff, worked together to screen applicants and interview prospective employees, then make recommendations to the administration regarding whether the group feels the candidate would be a good choice for an open position. The empowerment of these committees have been successful in giving the staff a sense of motivation, incentive and the support and dedication from its administration to the development of its staff.

With a program already based on Total Quality Management, the department was ripe for the challenges that lie before it with the implementation of Performance-Based Measures (PBM). Copies of this book were ordered for all of the staff, from administration to line staff, and support staff. In September of 1995, a "test" that had been developed by Mr. McKinney over the first four chapters of the book was administered. All staff met in the breakroom at the office to test not only their general comprehension of the material they had read, but the application of this knowledge as it applied to their specific roles. Motivation for passing the test was that the staff members would be given a day off. A second test over the remainder of the book was given in November, 1995. An option to take this test "open book" was offered to those with "test blocks", study sessions and group tests were also available for those who wanted the training credit, but not the formal "test". The department had 100 percent completion of this project. By December, 1995, all staff had sufficient knowledge of the concepts from Performance-Based Measures.

1996 brings together a lot of expectations, hard work, and commitment from the staff at Hunt County Community Supervision and Corrections Department. As the office plans to begin the actual transformation to PBM, it will be working as a whole to devise its own unique values, mission statement, goals, and general measures. Then it will break down into sub-groups (administration, support staff, specialized caseloads, etc) and develop a personalized pyramid tailored to its function that

relates to the overall department values, missions, goals, etc. Measures will be created for the department as a whole, as well as the sub-groups. The main objective will be to determine which programs currently in place are working, and which ones can be refined or eliminated.

A case example of how the department plans to utilize PEM may be demonstrated by the department's Intensive Intervention Diversion Program (IIDP). This is an intensive outpatient drug/alcohol treatment program that began in 1990 in cooperation with Crossroads Council on Alcohol and Drug Abuse (CCADA). Intensive group therapy, individual counseling, drug/alcohol education, and experiential therapy is incorporated in this program. Failure in the program is defined as revocation of community supervision and placement in prison.

At the end of the first five years, 106 persons have been served in the program with 38 of the participants having had their supervision revoked due to ongoing violations. This may represent a reasonable success rate by definition, especially considering that earlier estimates predicted only a 20 percent success rate. This example does not take into account other measures of success such as amount of abstinent (clean) time gained by participants, number of participants who enhance their education level through motivation from the program, the number to gain and maintain employment, etc. With the use of PEM in place, this IIDP program will benefit from the further development of criteria to be measured, including the knowledge and skills related to the collection (process measures) and interpretation of the results (outcome measures). Ultimately, implementation of specified goals will help revise programs so that these goals may be more readily achieved in accordance with the department's stated values and mission statement.

The department is pleased to be a recent recipient of a technical assistance grant for Performance-Based Measures that has been offered by the American Probation and Parole Association. In

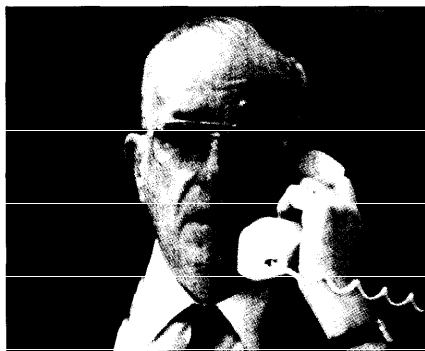
the coming months, the staff will be working alongside professionals in PEM that will be aiding Hunt County in the implementation process. In addition, two of this department's staff members have had specialized training through the Community Justice Assistance Division (CJAD) on Performance-Based Measures and offers ongoing support of this to the remaining staff. The works of Dr. Deming on quality and Steven Covey with *First Things First* and the *Seven Habits of Highly Effective People* are also being used to re-enforce the implementation of the results-driven management system called Performance-Based Measures.

The Hunt County Community Supervision and Corrections Department ultimately plans on implementing Performance-Based Measures in all areas of its operation, not just in special pro-

grams. The staff members have already demonstrated knowledge of the concept and its applicability on the tests designed by the director. They now look forward to the challenge of implementation. Performance-Based Measures have been an empowering tool that has generated enthusiasm and camaraderie throughout the department as the staff takes on the challenge, as well as provided a sense of pride that comes only from its accomplishments. Performance-Based Measures are supported by the Honorable Judge Joe M. Leonard (196th District Judge, Hunt County) and the Honorable Judge Richard A. Bosworth (354th Judicial District, Hunt County), the department's director, Mr. Larry D. McKinney, as well as being promoted by the Community Justice Assistance Division of the Texas Department of Criminal Justice. □

FOCUS ON AFFILIATES

New England Council on Crime and Delinquency Presents Annual Awards



Earl M. Sweeney

John R. Manson - Carl Robinson Award

This award was named in honor of John R. Manson who was Commissioner of Corrections for the state of Connecticut for 12 years until his sudden death at the age of 53 in September 1983. He was credited with the reform of the state's prison system.

It was also named in honor of Carl Robinson who was the warden at Somers State Prison in Connecticut. He was the first black person to head a Connecticut penal institution and was voted the 1982 Warden of the Year by the American Correctional Association. He died at the age of 47 in December 1983.

The yearly award winner is someone who has truly made a significant contribution to the field of criminal justice in New England. The 1995 award winner was Earl M. Sweeney. Mr. Sweeney is presently the Director of the New Hampshire Police Standards and Training Council. He has been in this capacity since 1985. He is also the Chief of Police for the town of Belmont, New Hampshire; former Chairman, NH Board of Parole; former Acting Director, NH State Police; former Assistant to the Director, NH Division of Motor

Vehicles; and the former Deputy Commissioner, NH Department of Safety. He has served as an adjunct faculty member in criminal justice and public administration at St. Anselm College, Hawthorne College, and Franklin Pierce College. He received Associate and Bachelor's degrees in Criminal Justice from St. Anselm College and a Master of Arts degree from Norwich University.

He was a life member of the International Association of Chiefs of Police, Inc.; the Chairman of its Highway Safety Advisory Committee; the past president of the International Association of Directors of Law Enforcement Standards and Training, and a member of the American Correctional Association and American Probation and Parole Association.

He is also the author of *The Public and the Police: A Partnership in Protection*, published by Charles C. Thomas Publishers, Springfield, Illinois, as well as author of numerous professional magazine and journal articles.

Angelo R. Musto Award

Angelo R. Musto was one of the forces behind the success of the New England Council on Crime and Delinquency (NECCD). He was president in 1974 and was general chairman of the joint convention of NECCD and APPA, which was held in Boston in 1984. With his hard work and efforts he turned over a substantial amount of money to our treasury.

The award winner must be an active or retired member of the NECCD and have made an outstanding contribution to the organization. The 1995 Musto award winner was Vicki M. Sullivan. Ms. Sullivan is presently a Lead Probation Officer for the Connecticut Office

of Adult Probation. She began her career in adult probation 18 years ago as a probation officer. She has been an active member of the New England Council of Crime and Delinquency since 1982 and treasurer since 1992. She has also served as scholarship and membership chairperson.

She has been a member of the Connecticut Probation and Parole Association since 1978 and served as a board member and secretary for ten years. In addition, she is a member of the American Probation and Parole Association, New London County Detective Association, Middle Atlantic States Correctional Association, Southeastern Connecticut Probation Gambling Task Force, and the Southeastern Connecticut United Way Community Service Advisory Board.

Vicki graduated from Central Connecticut State University with a Bachelor's degree in Sociology. She is married and resides in Clinton, Connecticut with her husband, Barry, and eight-year-old son, Ryan. ▽



Vicki M. Sullivan

Texas Corrections Association Celebrates 25th Anniversary

by Roy K. Bohrer, Williamson County Community Supervision & Corrections Department

Observing its 25th anniversary during 1995, the Texas Corrections Association (TCA) was formed in 1970 as a merger of the Texas Probation, Parole and Corrections Association and the Texas State Juvenile Officers Association. The mission of the Texas Corrections Association is to provide a forum for professional growth and to promote and enhance excellence in corrections. TCA strives to carry out its mission within the broadest possible spectrum of corrections professionals, representing all disciplines, departments, services and affiliated fields of corrections in Texas. The organizational structure of membership in four divisions – probation, parole, institutions and community services – as well as the division of members into four regions of the state, help to insure the broad representation and service that TCA offers.

Within recent years, TCA has promoted the recognition of the necessity for crime victims services, offering programs and training to meet this need and including crime victims as members in the Community Services Division. A position paper adopted in 1995 by TCA voices a strong advocacy for victims' rights and the need for staff training in providing services to crime victims.

For the past three years, an Exemplary Program recognition has been used by TCA to single out excellent programs throughout the state, highlighting them at training institutes as models for others and publicizing them

as the best efforts in Texas corrections to legislators, decision-makers and the population in general. Rather than representing any particular sector of corrections work, TCA represents the best interests, the excellence and the public support of the entire corrections field.

In a new program beginning in 1995, publicizing the interest and work of corrections professionals, TCA chooses a community services project in each locale of a regional or annual state training institute. Community service projects have included gathering donations for a battered women's shelter, collecting food for the needy and helping to build a community greenhouse. At the June 1996 Annual Training Institute in Corpus Christi, the project was to gather necessary school supplies for underprivileged children, emphasizing that corrections professionals support education as a good prevention to crime.

The current TCA president is Ricardo Barberena of the Tarrant County CSCD, Ft. Worth, and president-elect is Bill Odams of the Travis County Juvenile Justice Center, Austin. A former president, Rick Zinsmeyer of the Williamson County CSCD, Georgetown, is the current TCA affiliate representative to APPA.

TCA co-sponsored the August 1995 APPA Training Institute in Dallas, with Ron Goethals of the Dallas County CSCD serving as chair of the local planning committee. □

NIJ News

Old Wine in New Bottles?

by Edwin Zedlewski, National Institute of Justice

Federal interest in drug testing of offenders has been on the rise as of late. In September 1995 the White House announced its "Break the Cycle" demonstration program, a criminal justice initiative to detect drug use at all points of supervision and deliver appropriate drug interventions. In December, President Clinton directed Attorney General Janet Reno to establish a program of comprehensive drug testing in the federal justice system, and to offer assistance to states and localities interested in developing similar initiatives. In February, the National Institute of Justice (NIJ) and state officers started collecting hair samples from inmates in Pennsylvania prisons as part of a large scale drug interdiction program. Concurrent with these efforts, NIJ began a series of explorations on ways to broaden the scope of its Drug Use Forecasting Program (DUF) which tracks national incidence trends by testing arrestees in 23 cities for an array of drugs.

Drug testing offender populations is not a new concept. Urine testing technology has been widely available for more than fifteen years, and hair testing has been around for at least five. DUF will celebrate its twelfth anniversary this year. Previous administrations have flirted with mandating drug testing as a condition for receiving state block grant funds and went so far as to propose systemwide testing in the late eighties. Many local pretrial services and community corrections already test their offender populations. Given this history, it's logical to ask what's new.

What's new, is a changing perspective on the value of drug tests. The 1980s appreciation of drug testing was fairly unsophisticated. It consisted of

knowledge that tests of offenders provided fairly accurate estimates of drug use in a population unlikely to tell the truth. Officials in that period developed the Drug Use Forecasting program to obtain accurate estimates of drug prevalence trends in arrestee samples. They also proposed drug testing in community corrections as a means of holding offenders accountable for their behavior while under supervision. Both of these programs were reliable but somewhat expensive ways to accomplish the stated objectives. Ten years of experience have enabled them to achieve more from the same notions.

Three distinct strands of progress account for this urinalysis renaissance: technology, research findings, and field experience.

Technology advances are part of the improvement. Urinalysis testing costs have declined over the last decade; a ten-drug screen can cost program managers less than six dollars. Testing results need no longer be delayed. New "instant" tests indicate drug use within five minutes of the sample, and criminal justice response to a positive test can be equally immediate. Hair analysis provides longer windows of observation into drug use, and ion mass spectrometers detect nanogram samples on clothing and packages.

Improvements in our research knowledge base have caused officials to increase the value they place on drug testing. The links between frequency of drug abuse and intensity of criminal activity have been more securely established and apply to cocaine as well as heroin; therefore, reductions in drug abuse are tied more closely to public safety rather than a more elusive benefit

of "accountability." Research has also demonstrated that combinations of testing and treatment, and testing and sanctions reduce drug use in corrections populations. Other research has demonstrated that it isn't necessary to test every member of a correctional population to achieve these results but simply take enough samples to pose a significant risk of punishment.

Finally, field experience has led to greater appreciation of how clear evidence of drug use can be used in criminal justice programs. Community corrections supervisors now realize from their experiences that expensive confirmations of test results are unnecessary for a wide range of actions they might wish to take and that drug abusers do fear drug tests. Other parts of the system have also had positive experiences. Drug courts — which have grown from a handful in 1992 to hundreds in 1995 — offer a dramatic illustration of how testing can be incorporated effectively into criminal justice operations. Drug court judges require offenders under their supervision to give frequent random urine samples, so abilities to conceal patterns of drug use are greatly reduced. Positive drug tests need not result in long term confinement, however. Judges, now more knowledgeable about drug abuse relapse, may tolerate some positive tests as long as general progress is satisfactory or may respond with very short jail terms as negative reinforcement. Evaluation results from drug courts are still limited, but promising.

Pennsylvania prison officials are using drug tests as primary measures of the effectiveness of an array of drug interdiction strategies. Having taken a

surprise sample of hair and urine tests in several prison in February to establish a baseline of drug prevalence, they are now instigating a variety of surveillance methods, inmate sanctions, and visitor check programs in the targeted facilities. The effectiveness of these programs will be gauged by additional random tests on inmates at various intervals in the future. Similarly, arrestee samples from the Drug Use Forecasting program offer solid evidence on the effectiveness of police crackdowns and drug prevention programs. In addition to voluntary drug samples, DUF arrestees are interviewed on where they buy drugs and from whom, which adds richness to the basic sample results.

Increased sophistication in drug testing has led to increasingly ambitious drug testing initiatives. The premise of the "Break the Cycle" demonstration programs and new federal efforts at wide-scale drug testing is that significant reductions in offender drug use can be achieved through regular random testing and intervention at every point of interaction in the criminal justice system. The secondary premise is that reductions in drug use will lead to measurable reductions in criminal activity and hence reductions in recidivism costs.

Implementing system-wide programs presents formidable challenges. In order to effect drug abuse interventions from pretrial services through parole supervision, communities must test and track offenders from point of arrest through court processes and into correctional supervision. If an offender is diagnosed as a serious abuser at arrest and enters treatment prior to adjudication of his case, this information must be relayed to his post-adjudication custody and steps must be taken to insure continuity of services. Linking information systems is one obstacle but well within technological reach. The more imposing difficulties are likely to be providing consistent intervention policies across agencies and units of govern-

ment, and sharing treatment, testing, and sanctions resources. One can imagine creating a variety of resource pools that would be jointly managed and paid

for, but such arrangements would no doubt be viable only within jurisdictions with a history of intergovernmental collaboration. □

APPA Position Statement:

Interstate Compact for Supervision of Probationers and Parolees

Note: The following position statement was originally presented to the membership in the Winter 1996 issue of Perspectives. After comments and feedback from the membership, the position statement has been re-evaluated and updated to reflect that input. Approval for this updated position statement will be requested at the membership meeting in Chicago, Illinois on July 3, 1996. The purpose of presenting this position statement in Perspectives is to seek comment and feedback from the membership before seeking such approval. It is important that members wishing to comment on this position statement send any comments by June 26 to:

Denny McFarland, Chair
Issues, Positions and Resolutions Committee
c/o APPA
P.O. Box 11910
Lexington, KY 40578
Fax (606) 244-8001

Purpose

The purpose of the Interstate Compact for the Supervision of Probationers and Parolees is to maximize public safety by addressing the supervision requirements of the member states and territories regarding how offenders should be supervised. Parole boards, courts and probation agencies are not able to handle the planning for and supervision of probationers and parolees when their residence and family resources exist outside their political boundaries. Most required levels of community-based supervision are available through the cooperation of Interstate Offices.

Position

The Compact has one primary goal — community protection. The primary strategies used to achieve public safety are: risk management, supervision and rehabilitation of the probationer/parolee. In cases involving probationers/parolees whose homes are situated in a state or territory foreign to the state of jurisdiction, the goal of community supervision can only be met through the use of the Interstate Compact. Community protection is facilitated by the

regulation of the probationer/parolee's interstate travel, the monitoring of the offender's community adjustment, and the removal of the probationer/parolee from the community upon violation. Reintegration of the offender and rehabilitative efforts are assisted by ensuring parole and probation program continuity across state boundaries.

The value of services provided through the Interstate Compact is directly related to the spirit of cooperation between the states and their Compact officials. However, the spirit of cooperation should be guided by the standards promulgated in the Interstate Compact. Although each state or territory operates as a sovereign entity, cooperation is necessary for each to achieve its desired goals. Each is encouraged to consider the philosophy, intent and standards of the Compact prior to making any decision on case transfers. The overriding concern in any transfer decision should be meeting the requirements of public safety by addressing the needs of the host community and the probationer/parolee through the design of an acceptable supervision plan. Individual cases should be accepted not only when they have legal residence or family residing in the receiving state, but

also when it appears that the supervision plan has merit and will serve to enhance public safety through the risk management, supervision and rehabilitation of the probationer/parolee. Conversely, no sending state should ask for special consideration if the supervision plan is unsound, puts the receiving state at undue risk, or could just as easily be administered within its own boundaries. No probationer or parolee should be allowed to reside in another state without a state's knowledge and consent.

Guidelines

The American Probation and Parole Association (APPA) supports the guidelines established by the Parole and Probation Compact Administrators' Association (PPCAA). APPA further recommends each member state or territory abide by the PPCAA guidelines when considering the transfer of probationers or parolees via interstate offices. The PPCAA guidelines are attached to the position statement as a matter of information for APPA members.

If in the future PPCAA decides to amend their guidelines, this change is recommended so that APPA will not have to amend the position statement. □

Parole and Probation Compact Administrators' Association (PPCAA) Guidelines

1. The receiving state should be given 45 days to investigate any transfer request prior to the offender's actual move to that jurisdiction. Court ordered transfers or emergency situations acknowledged by the receiving state constitute a category of cases wherein offenders can be allowed to move promptly. The receiving state should always be notified by telephone within two working days when an offender is allowed to proceed pending transfer.
2. All requests for transfer and reports of acceptance, rejection or termination of supervision are approved only by the office of the Interstate Compact Administrator or a designated deputy.
3. All transfer requests should be accompanied by:
 - a. A signed Application for Compact Services and Agreement to Return.
 - b. A copy of the judgment and sentence.
 - c. A copy of all imposed conditions of parole or probation.
 - d. A presentence investigation or a similar social history that includes:
 - 1) The offender's criminal history
 - 2) A description of the current offense(s)
 - 3) Information on any serious medical condition
 - 4) Any psychiatric/psychological history
 - 5) A history of any present or past supervision in the sending state
4. No state should refuse to supervise an offender eligible under the Compact who has the necessary employment and residency qualifications. Further, a receiving state may not refuse to supervise an offender solely because he or she is considered a poor risk.
5. Upon acceptance, each receiving state will assume the duties of supervision of the offender and will be governed in the exercise of those duties by the same standards which prevail for its own probationers or parolees.
6. The duration of the probation/parole period in a Compact case is determined by the sending state.
7. The receiving state should provide the sending state with annual progress reports. Arrival reports should be sent within 30 days after the offender's arrival in the receiving state.
8. The receiving state should promptly notify the sending state of any violation of supervision.
9. The sending state should apply the same standards for the return of a violator in their own state. The decision of the sending state to retake a violator shall be conclusive and non-reviewable within the receiving state. A receiving state should consider an offender's residence and family ties before asking a sending state to retake a violator.
10. The receiving state may close its interest and cease supervision of the offender upon:
 - a. the receipt of a certificate of discharge from the sending state
 - b. the receipt of permission to close from the sending state
 - c. the abscondence of the offender
 - d. the arrival of the scheduled maximum expiration date.

Beyond the Land of Oz –

Introducing APPA's Strategic Plan

The development of APPA's strategic plan for the year 2000 and beyond began in February 1992 when the National Institute of Corrections (NIC) - Community Corrections Division awarded APPA a grant for technical assistance entitled the *Community Justice Leadership Project*. This project allowed APPA to promote an interactive process of gathering information on community justice from a myriad of community-based corrections professionals through facilitated meetings in 17 state, regional, and local jurisdictions, over a 20 month period. The vision elements developed from these meetings were reviewed by the APPA Board of Directors. From this review, the APPA vision statement became a reality in the early part of 1995. The vision statement was formulated with careful consideration to being faithful to the data presented by the aforementioned work of the approximately 2,000 community corrections professionals and the board members' own views.

A significant number of potential implementation strategies designed to help move us toward realizing our vision were a valuable by-product of the visioning process. These unrefined implementation strategies coupled with APPA's standing committees' goals provided the raw ingredients for APPA's strategic plan. Refinement of the goals and implementation strategies continued during both a strategic planning meeting in November 1995 and the board of directors



The APPA Board of Directors met at the 1996 Winter Institute in Portland, Oregon to refine the goals and tactics for APPA's strategic plan.



Rocco Pozzi, APPA President, works with affiliate representatives to insure all aspects of the association are represented in the strategic plan.



Corporate Member, Don Gorning of Ameritech and Linda Layton, APPA Regional Representative participated in focus groups to refine aspects of the strategic plan.

meeting at the Winter Institute in Portland this past February. The published portion of the strategic plan consists of the vision, an introduction, the mission, long-term goals and short-term goals. Currently, the mission, based on individual membership and board of directors input, remains a draft. Further refinement of the mission will occur during the board of directors meeting at the Annual Institute in Chicago.

The specific implementation strategies (where the rubber meets the road) including time-lines, the responsible individuals and the resources required have not been incorporated in the following strategic plan because of their dynamic nature — many of the strategies will have been completed and/or revised by the time this is published. However, future reports pertaining to the strategic plan will include summary reports on each goal which will necessarily include progress toward completion of individual implementation strategies.

So . . . with appreciation to NIC for their foresight and financial assistance; Fahy G. "Skip" Mullaney for his direction and expertise; over 2,000 community corrections professionals nationwide for their commitment and vision; APPA corporate members for their counsel and ideas; and the APPA Executive Committee and the Board of Directors for their dedication to the process and determination in purpose, we present the APPA Strategic Plan.

American Probation and Parole Association

— Strategic Plan —

INTRODUCTION

The American Probation and Parole Association (APPA) is at the vanguard in exploring issues relevant to the field of community-based corrections. The organization consistently takes the initiative in providing quality services for its constituency. APPA is an international association composed of individuals from the United States and Canada actively involved in probation, parole and community-based corrections, in both adult and juvenile sectors. All levels of government including local, state/provincial and federal agencies as well as representatives from the private sector are counted among its constituents. APPA represents approximately 19,000 community corrections professionals.

APPA believes in the value of an educated constituency. To that end, APPA provides training workshops, symposiums, training institutes and technical assistance; and produces a variety of research documents, a quar-

terly publication entitled *Perspectives* and numerous informational mailings as resources for its membership.

APPA has grown to become the voice for thousands of probation and parole practitioners including line staff, supervisors and administrators. Other criminal and juvenile justice practitioners, educators, volunteers and concerned citizens are also among APPA's members.

The strategic plan was born from APPA's vision. Seventeen state, regional and local jurisdictions, as well as several hundred attendees at APPA's Annual Institutes and the APPA Board of Directors participated in the visioning process over a twenty month period. The strategic plan for APPA represents a compilation of strategies recommended by participants during the visioning process, a review of APPA individual committee goals, the results of a strategic planning meeting attended by APPA's Executive Committee and a selection of committee chairs and cor-

porate members and work done by APPA's Board of Directors. Each goal in the strategic plan supports one or more of the elements set forth in the vision and our ultimate goal of "*community justice and safety for all.*"

APPA MISSION

To serve, challenge and empower our members and constituents by educating, communicating and training; advocating and influencing; acting as resource and conduit for information, ideas and support; developing standards and models; and collaborating with other disciplines.

This mission statement also serves as a guiding principle for many of the objectives and implementation strategies in the strategic plan.

The extent to which we work together to implement these strategies that support APPA's vision will determine the extent to which the goals can be achieved.

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.

We seek to create a system of Community Justice where:

A FULL RANGE OF SANCTIONS AND SERVICES provides public safety by insuring humane, effective, and individualized sentences for offenders, and support and protection for victims;

PRIMARY PREVENTION INITIATIVES are cultivated through our leadership and guidance;

OUR COMMUNITIES ARE EMPOWERED to own and participate in solutions;

RESULTS are measured and direct our service delivery;

DIGNITY AND RESPECT describe how each person is treated;

STAFF ARE EMPOWERED and supported in an environment of honesty, inclusion, and respect for differences; and

PARTNERSHIPS WITH STAKEHOLDERS lead to shared ownership of our vision.

GOALS

Create an understanding among community corrections professionals, criminal justice policymakers and the public of the importance of a balance of prevention, intervention and advocacy to public safety.

- Disseminate research-based information on the effectiveness of prevention, intervention and advocacy to policymakers.
- Provide agencies with tools and resources for public education within their jurisdictions.
- Ensure that the Annual and Winter Training Institutes reflect the importance of a balanced approach and its components of prevention, intervention and advocacy.
- Increase the organizational focus on primary prevention initiatives.

Promote fair, safe and ethical policies and practices within community corrections.

- Identify and disseminate model policies and procedures designed to ensure the health, safety and welfare of probation and parole professionals.
- Identify and disseminate model policies and procedures which promote objectivity and fairness in the sanctioning process.
- Identify and disseminate model policies and procedures to enhance probation and parole programs and services for crime victims.

Enhance the quality and improve the outcomes of community corrections programs and practices.

- Promote the continuing education of probation and parole professionals.
- Recognize outstanding performance and contributions to the field of community corrections.
- Facilitate the development and implementation of performance-based measurements within community corrections agencies.
- Conduct research on community corrections issues relevant to the membership's/profession's needs.

Enhance the resources and visibility of community corrections through ongoing advocacy and dynamic leadership.

- Increase the quality and level of services available to offenders.

- Utilize the expertise and resources of APPA Corporate Members to market community corrections.

- Increase awareness of key state and national policymakers regarding APPA positions and activities.

- Monitor public policy developments and their potential impacts on community corrections and recommend appropriate responses.

- Promote the use of the media to educate the public and key decision makers on the vision and strategic importance of *Community Justice*.

Administer fiscally sound and efficient organizational practices that are responsive to the needs of individuals, the profession and the public.

- Adapt the organizational constitution and by-laws in response to changing needs of the members and the profession.
- Select sites for Training Institutes which are geographically and financially feasible for a large number of participants.
- Cultivate new organizational leadership and participation.
- Increase organizational revenues through advertisements in *Perspectives* and training and technical assistance services.
- Adopt positions and resolutions reflecting issues central to the function of community corrections professionals.
- Ensure that *Perspectives* meets the informational needs and interests of the membership.
- Conduct technical assistance in areas which support members' informational needs and interests.

Develop public and private partnerships in support of community corrections vision.

- Expand the number and involvement of Corporate and Agency Members.
- Increase judicial and legislative participation and networking through APPA.
- Revitalize the working partnership with the Juvenile Probation Officer Initiative and its member associations.
- Maintain and cultivate partnerships with national and local victims' groups.
- Become an active and vocal member of the National Crime Prevention Council and Coalition and the Community Anti-Drug Coalitions of America.

Making Technology Work: The Trials and Tribulations of One County's Leap into the 21st Century

by Jim F. Mills, Assistant Director, Dallas County Community Supervision and Corrections Department, Texas

Dallas County, Texas, not unlike many other urban counties throughout the country, has witnessed a dramatic increase in the number of offenders placed under community supervision during the years 1990 - 1995. These offenders manifest a greater level of need than probationers of the 1980's and present a higher degree of risk to the community. In Texas, the number of offenders sentenced to terms of community supervision has increased with each passing year in the decade of the nineties. Funding has not kept pace with the growth, and community supervision and corrections departments (formerly adult probation departments) in Texas are expected to do more with less.

On August 31, 1992, the Dallas County Community Supervision and Corrections Department directly supervised 18,338 felons and 12,129 misdemeanants. In addition to court services and administrative offices, the department operated seven satellite offices, a 65 bed residential center, a 300 bed drug treatment center, and a day reporting center. Six hundred and fifty persons were employed by the department to carry out daily operations.

On that August day in 1992 the department owned one computer and one dot matrix printer. The computer was ten years old, battered, frequently down for repair, and had less capacity than the more powerful 286 computer which was then already obsolete.

Data needed for management purposes was gathered, analyzed, and processed manually. For example, if information was desired on the number of residential burglars who were under supervision on a given day, office supervisors were called and asked to have

their officers go through their individual file cabinets, count the number of burglars on their respective caseloads, and come up with a count for the office to be added to the count from all the other offices.

Two mail-runners took paper files from the individual satellite offices back to the administrative and courts office daily. All reports and documents regarding offenders had to be sent through inter-office mail.

Communication between the various units was by telephone and was not assisted by voice mail. It often took several days for important information to be exchanged between court and field officers working on different aspects of the same case.

It had long been obvious to management that movement into twenty-first century had to include the implementation of a modern computer system. Envisioned was the implementation of a system that would provide for electronic mail capability between offices, as well as to officers' homes, a software package which would allow officers to do everything they did for a paper file in a computer file, an interactive and relational data base which could provide statistics and management information quickly and correctly, and a system which would support a program of telecommuting. Management's goal was to place a personal computer in the home of every casework and field supervision officer so that they might work from their residences two to three days per week.

Cost was of course a primary concern. Dallas County government provides no funding to the department; however, the county was statutorily responsible to provide plant, utilities and

equipment. Management argued that monies required to purchase the necessary hardware, software, and peripherals needed to implement a full program of computerization would be offset by a decrease in our future needs for office space, furniture, and the attendant equipment made necessary by the use of paper. The reduced costs to the county in terms of utility and telephone payments as well as the beneficial environmental effects associated with telecommuting was also emphasized. The county commissioners agreed with the analysis offered by management and authorized the expenditure of some \$800,000 to purchase the necessary equipment. The state of Texas, which provides financial assistance to Community Supervision and Corrections Departments through an oversight agency, provided an additional \$500,000 to purchase the IBM AS400 file server that was necessary to run the probation software program.

The implementation process was not without problems. It seemed that each step along the way was attained in twice the time and at twice the cost than had been anticipated. The \$450,000 file server could not be activated because of the need for a \$30 electrical outlet to be installed. The high speed modems could not be installed in a satellite office because the existing phone lines were not capable of supporting their advanced technology. What was envisioned as a one-year project became a three-year effort.

There also proved to be a large gap between individual officers in their advancement through the learning curve associated with becoming fully computerized. Many officers embraced the technology, worked independently to

become familiar with the software, and were quick to utilize the electronic mail, personal calendars, appointment books, and other features of the system. Other officers were reluctant to participate in the learning process and were pessimistic about the benefits of computerization.

Everyone did know that "D Day" had been established and were aware that January 31, 1995 was the last day to make entries into paper files.

On February 1, 1995, the implementation process began. Personal computers had been placed into the homes of all case supervision officers, duty and report schedules within the various units and satellite offices had been adjusted in support of telecommuting, and the court and administrative functions had also been fully computerized.

The next several months were difficult. The system certainly had its supporters, but it also had detractors. Some said that the workload had been doubled. Others felt that the software was not user friendly. Still others complained that the system was slow when working from home and that they were often having difficulty in signing onto the system from remote locations.

Despite the detractors, the management information staff were undismayed. They had been through computer conversion and implementation cycles before and assured the administration that all of the difficulties had been anticipated and that the implementation was going well. They proved to be correct. At summer's end most of the officers had advanced through the learning curve, were comfortable with the software and at home with the computer. They were enjoying the benefits of working at home up to three days a week and were reporting that they accomplished more work, more quickly at home than they had been able to do previously in the office. They liked the flexible hours, the reduction in child care costs, the lessened demands on their personal automobiles, etc.

Computerization also caused the administration to make other needed

adjustments to departmental policies and procedures. Supervisors and mid-managers feared a loss of control and were concerned that they could not be sure of who was working, when they were working, and exactly what they were doing. Administration emphasized its desire to have fewer rules and higher expectations. An ongoing audit process was fine tuned and implemented to ensure that each supervision officer received ongoing audits of their cases to assure compliance with policy and standards. The audit process also acted as a training tool and a means by which feedback as to officer performance can be provided three or four times monthly.

Two quality control officers working within the administration randomly audit the auditors and review other aspects of the daily operation at the direction of the assistant director. The management information system now allows the department to obtain important statistical information in hours rather than weeks and assists management decisions as to the proper utilization of resources.

Problems still exist. Criticism can still be heard from some quarters. Management continues to fine-tune the software, respond to suggestions from the users, and to utilize advanced features of the AS400 and the probation software. Regular meetings of users are conducted in order to resolve problems which are experienced in any of our units, satellite offices or officer's homes.

Paper files are disappearing at a rapid pace as new cases come into the system and existing cases expire, are set aside, or are disposed of in other ways. It is anticipated that a fully paperless system will be in place within two years. The department's imaging system is now ready to be utilized to scan third party documents to include such items as arrest reports, prosecution reports, and medical information. The AS400, the software, and the controllers at all of our remote locations have been upgraded; in addition, the quality of the printers and other peripheral items have been improved.

A basic computer proficiency test has been developed and will be administered to all staff, whether clerical, officer, or administrative, in order to ensure that each and every employee has mastered basic skills essential to the operation of the department.

Also in process is the establishment of a computer interface with the local Volunteer Center, a non-profit organization that matches offenders sentenced to perform community service restitution (CSR) with non-profit or governmental bodies in need of volunteers. The Volunteer Center downloads attendance and records of hours of CSR completed from their computer to the department's, as will the laboratory which performs the department's urinalysis testing.

It is management's hope to equip field surveillance officers with lap top computers capable of linking with the file server via a microwave process so that case file information may be brought up from the officer's vehicle and information can be entered into the chronological narrative of the file while the officer is still in the field.

The management information section will be expanded during the next fiscal year and additional personnel will be added to the research and evaluation unit in order to design program models and evaluation techniques which focus on quantifiable outcomes in order to measure the effectiveness of our services and programs in a very scientific manner.

During March 1995 the department became linked with the Internet in order to seek funding sources, both public and philanthropic, throughout the United States and to keep abreast of the most contemporary developments and findings in the field of community corrections.

None of the foregoing would have been possible just five years ago. The benefits which have accrued to the department as a result of full computerization far outweigh the growing pains, the transient strife, and the anxiety which implementation of the system has sometimes engendered for us all. □

Corporate Member Profile

Ameritech SpeakerID

Background

Ameritech, one of the world's largest and most respected communications and information management companies, keeps 13 million customers in touch. Our customers connect 200 million times each day through our telephone, cellular, paging, data, video and information networks. Ameritech's vision is to be the world's premier provider of full-service communications for people at work, home or on the move.

Ameritech is developing an exciting portfolio of new solutions to serve the criminal justice system. Our objective is to increase the effectiveness of the probation and parole agencies we serve - to help you meet your challenging goals in the face of diminishing budgets and growing public and legislative scrutiny.

Ameritech SpeakerID

Crime in the U.S. is increasing at an alarming rate, placing a growing burden on overcrowded prisons. In addition, probation and parole caseloads are rapidly expanding to nearly unmanageable proportions. In order to help alleviate these conditions, Ameritech has developed **SpeakerID** - a reliable, accurate and cost-effective solution for offender monitoring. **SpeakerID**'s unique combination of hardware and software greatly enhances the performance and value of voice verification technology.

This completely automated system creates a voice print that can be matched with extreme accuracy. Verification telephone calls are then randomly generated to participants.

The sophisticated mathematics used to digitize the voice prints even allows the computer to differentiate between twins or siblings or correctly identify people with colds. If call attempts are unsuccessful the system immediately notifies the participant's supervisor.

SpeakerID can be easily tailored to meet the specific needs of each agency. It has the flexibility to allow agency personnel to establish specific monitoring criteria so that call frequency can vary by individuals depending on risk assessment levels. In addition, **SpeakerID** can call multiple locations in specified time parameters. With **SpeakerID**, there is no upfront purchase or down payment needed. An agency can increase its program's security and reliability without waiting for large budget allocations.

SpeakerID Minimum Supervision Reporting (MSR)

The value of **SpeakerID** has been recently enhanced with the addition of our **SpeakerID** Minimum Supervision Reporting

(MSR) capability. **SpeakerID** MSR automates the reporting process of offenders sentenced to minimum supervision or administrative probation. MSR reduces the labor intensity of the reporting process while improving accuracy and reliability.

SpeakerID MSR accepts calls from participants under minimum supervision, positively identifies the individual using voice verification and captures the telephone number from which the offender is calling. Callers are then prompted to respond to a series of customized questions. Responses are digitally recorded and available for supervisor review. The system can also send customized messages and broadcast notices to callers. Changes in offender status, such as address or job change, or failures to successfully call in are automatically reported to the assigned supervisor.

Ameritech Support

Ameritech works with each agency to design a system configuration that meets its unique requirements. Ameritech installs all hardware and software, and provides complete training for system administrators and users. In addition, our National Customer Support Center is available 24 hours a day, seven days a week for both hardware and software assistance.

Security is one of the most critical issues in community corrections. That's why agencies need to make use of the most accurate, dependable monitoring services. **SpeakerID**, only available through Ameritech, helps agencies improve the security of their monitoring programs.



Ameritech - A New Corporate Member

As a new member of the APPA's Corporate Membership Program, Ameritech proudly accepts its responsibility to assist the American Probation and Parole Association in its efforts to be a national unified voice for probation and parole.

Ameritech is especially delighted to be the sponsor of your Gala Event, "A Pier Party Affair" at the 21st Annual Training Institute in our hometown of Chicago.

Corporate Contact

Don Gorning, Product Manager, will be the Corporate Contact for Ameritech and will represent the company on APPA's Corporate Relations Committee. Don can be contacted at Ameritech, 45 Erieview Plaza, Room 860, Cleveland, OH 44114, Telephone: (216) 822-4252, Fax: (216) 822-1103. □

Corporate Member Profile

PharmChem Laboratories, Inc.

Background

Founded in 1971, PharmChem Laboratories, Inc. is a leading independent laboratory providing integrated drug testing services to corporate and governmental clients seeking to detect and deter the use of illegal drugs and alcohol. PharmChem is certified by the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Service Administration, the College of American Pathologists and the U.S. Department of Defense to conduct drug testing using forensic procedures required for legal defensibility of test results.

In 1992, PharmChem expanded its operations through the acquisition of London-based Medscreen and the addition of the Texas Division through the acquisition of a fully certified laboratory in Fort Worth. Also in 1992, the company acquired from Sudomed, Inc. the exclusive marketing rights for the PharmChek collection and monitoring system which uses sweat to detect the use of illegal drugs or alcohol.

Primary Markets

PharmChem provides integrated drug testing services to more than 1,000 clients in three major market segments:

- **Public and Private Employers.** Public and private employers use drug testing principally as part of their hiring decisions in order to reduce costs associated with drug abuse in the workplace. In addition, an increasing number of public and private employers test employees in safety-sensitive positions on a periodic or random basis and test other employees upon reasonable suspicion of drug use.
- **Criminal Justice Agencies.** Criminal justice agencies use drug testing results in criminal proceedings and to make parole, drug treatment and probation decisions. In addition, these agencies use drug testing to monitor drug treatment of individuals under supervision and to track drug use trends within the United States.
- **Drug Treatment Programs.** Drug treatment programs use drug testing to monitor the treatment and rehabilitation of drug users in their care.

Products and Services

PharmChem Laboratories, Inc. offers the following products and services:

- **Laboratory Services** – PharmChem is the largest, independent, SAMHSA-certified drug testing laboratory in the United States. Through a large specimen collection and computerized reporting network, PharmChem offers rapid and economical drugs

of abuse screening through EMIT, TLC or RIA, and confirmation using GC, GC/MS or RIA confirmation. Specimens are accessioned and analyzed upon receipt and negative results are generally reported before noon the next day.

- **Client Services** – PharmChem provides comprehensive in-service training on topics such as substance abuse trends, toxicology and drug pharmacology, breath alcohol testing, as well as technical information on the laboratory's testing processes. PharmChem manages specimen collection and transportation for many of its clients. Additionally, PharmChem provides full litigation support including expert witness testimony in legal proceedings.

- **QED Saliva Alcohol Test** – a hand-held device for a rapid and economical screen for detecting alcohol in saliva. It is ideal for zero tolerance programs or post-accident follow-up, and provides quantitative results up to .3 percent.

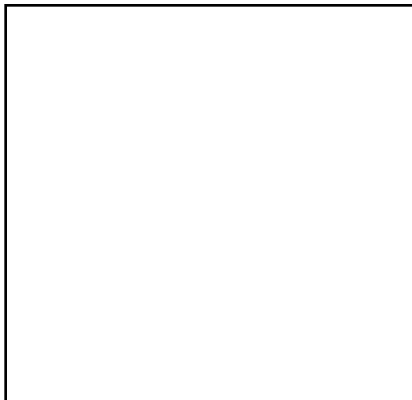
- **PharmChek Collection and Monitoring Device** – a patented system which uses sweat to collect and detect the use of illegal drugs or alcohol. The product may be utilized as a hassle-free, cost-effective alternative to urine collection and is intended to simplify and streamline the substance abuse testing process.

Why PharmChem Joined APPA's Corporate Membership Program

PharmChem believes the corporate membership program will enhance private sector relationships, and will provide the necessary framework for APPA to take advantage of PharmChem's client services resources and drug testing programs. PharmChem recognizes APPA's Drug Testing Guidelines for Adult Probation and Parole Agencies as a realistic means to standardize drug testing programs across the country. PharmChem is committed to ensuring that these guidelines are followed to improve drug testing programs and to enhance probation and parole efforts.

Corporate Contact

Neil Fortner, Vice President, Laboratory Operations, will be the corporate contact for PharmChem Laboratories, Inc., and will represent the corporation on APPA's Corporate Relations Committee and Board of Directors. Mr. Fortner can be reached at 1505A O'Brien Drive, Menlo Park, CA 97025, or by telephoning (800) 446-5177. The alternate will be Edward V. Collom, Vice President, Business Development. □



Neil Fortner, Vice President, Laboratory Operations, PharmChem Laboratories, Inc.

Victim Offender Mediation: From the Margins Toward the Mainstream

by Mark S. Umbreit, Ph.D., Director, Center for Restorative Justice & Mediation, School of Social Work, University of Minnesota and Mike Niemeyer, MA, Administrator, Victim Offender Mediation Association and Director of Victim Offender Reconciliation Program, Orange County, California

It has been suggested by a previous author in *Perspectives* (Lindner, 1996) that the field of victim offender mediation and reconciliation is "an unproven fringe movement." Despite its 20 years of development and use in many thousands of cases in numerous communities throughout North America, the growing practice of victim offender mediation is still at an early stage given the reality of social change movements. It is, however, clearly moving from the margins toward the mainstream. In some communities, it does, in fact, represent a "fringe movement." In others communities, with county governments providing hundreds of thousands of dollars to divert thousands of cases from the justice system, one could hardly consider such a commitment "fringe." In a similar vein, while there remains a continuing need for more research in this field, there already exists far more empirical data, based on multi-site assessments in Canada, the U.S. and England that one could find in many other correctional interventions. Virtually none of the empirical research that has emerged internationally over the past several years was cited in the previous article.

The purpose of this article is to report on how the field of victim offender mediation is currently developing, including specific data on the largest program in North America, and to briefly report on key research findings from the emerging literature in this field.

International Growth of Victim Offender Mediation

Providing opportunities for certain victims of crime and their offenders to meet face-to-face, to talk about the crime, to express their concerns, and to

work out a restitution plan is now occurring in a growing number of communities through North America. In the late 1970s there were only a handful of victim offender mediation and reconciliation programs. Today, there are more than 175 programs in North America and an even larger number in Europe. While many victim offender mediation programs continue to be administered by private community based agencies, an increasing number of probation departments are developing programs, usually in conjunction with trained community volunteers who serve as mediators.

Many thousands of primarily property related offenses and minor assaults, involving both juveniles and adults, have been mediated during the past two decades since the first Victim Offender Reconciliation Project was initiated in Kitchener, Ontario, and later replicated in Elkhart, Indiana. Some victim offender mediation programs continue to receive only a relatively small number of case referrals. Many others consistently receive several hundred referrals a year. Some of the more developed programs receive more than a thousand referrals a year. During the past several years, two specific community based programs in Orange County, CA and Portland, OR have received county grants of up to \$300,000 in order to divert a thousand or more juvenile and adult cases from the overcrowded court systems. Perhaps the clearest expression of how the field has continually developed and received greater recognition for its work is seen in the 1994 endorsement of victim offender mediation by the American Bar Association. After many years of supporting civil court mediation, with limited interest in crimi-

nal mediation, A.B.A. now endorses the process and recommends the use of "victim offender mediation and dialogue" in courts throughout the country.

Case Example: Orange County VORP

An examination of the Victim Offender Reconciliation Program (VORP) in Orange County, California is illustrative of how the field of victim offender mediation is receiving wider recognition

Table 1
International Development
of Victim Offender
Mediation Programs

County	Number of Victim Offender Mediation Programs
Australia	5
Austria	Available in all jurisdictions
Belgium	8
Canada	26
England	20
Finland	130
France	40
Germany	293
New Zealand	Available in all jurisdictions
Norway	54
South Africa	1
Scotland	2
United States	150

and use. Interest in this process was initiated by Janet Cater, then president of the local chapter of Mothers Against Drunk Drivers (MADD). The program was then developed by the St. Vincent De Paul Center, a non-profit community based agency, in 1989.

The Orange County program has gone from sixteen referrals in 1989 to 1,239 cases in 1995. Initially cases were referred only from the juvenile division of the county probation office. In February of 1993 VORP was approached by the Santa Ana police department with a request to use victim offender mediation with their juvenile graffiti cases. This program was implemented and found to be very effective in meetings the communities needs and in holding offenders accountable for their actions. The police found that graffiti decreased from 691,500 square feet a month prior to the program implementation to 229,000 square feet per month four months later. That department has since expanded its use of victim offender mediation to cover a full range of juvenile crime.

An examination of 2,938 cases referred to the Orange County program by police, probation and district attorneys, showed a wide range of offenses were referred. The largest category was graffiti & vandalism (28%) followed by assault & battery (17%). Burglary & grand theft represented 4% of cases referred, while theft represented 5%. About three percent of cases referred (85 cases) involved serious violent crimes including murder, manslaughter, rape, sodomy, kidnap and assault with a deadly weapon.

Outcomes of these mediations have shown results consistent with the literature. Victim participation is high, with 74% of victims in the Orange County program choosing to meet with their offender in mediation. When victims did not want to meet with the offender they most often indicated that it was because the case was not important enough to warrant participation (75 of 215 responses or 35% in a recent study.) 13% indicated that they had already worked something out with the offender on their own. Lack of confidence in the

offenders good will, fear or anger was given as the reason in only 9% of cases studied.

Mediation also provided for more durable agreements than is available through other programs. In Orange County a 1995 study of 755 mediated contracts showed that 97% of the contracts were completed or were current and only 3% had failed to be completely fulfilled.

The growth of VORP in California has not been isolated to Orange County. Since the first VORP began in Fresno County in 1983 sixteen VORP's now exist in California. The California Senate has recognized the success of these programs through legislation designed to provide support for victim offender mediation. Senate bill SB1188, sponsored by Justice Fellowship, passed the Senate without a dissenting vote. The California Office of Criminal Justice Planning issued grants in February of 1996 to fund five victim offender mediation programs at \$75,000 each.

What We Have Learned

During the past several years, a small but growing amount of empirical data has emerged from studies in the U.S., Canada, and England. High levels of client satisfaction with the mediation process and outcome has been consistently found over the past 12 years in studies throughout Europe and North America (Coates and Gehm, 1989; Collins, 1984; Dignan, 1990; Fischer and Jeune; Galaway, 1988; Galaway and Hudson, 1990; Gehm, 1990; Marshal and Merry, 1990; Perry, Lajeunesse and Woods, 1987; Umbreit, 1989, 1991, 1993; 1994; 1995; Umbreit and Coates, 1993; Wright and Galaway, 1989), with some studies finding higher restitution completion rates (Umbreit, 1994), reduced fear among victims (Umbreit and Coates, 1993; Umbreit, 1994), and reduced future criminal behavior (Butts and Snyder, 1991; Nugent and Padlock, 1995; Schneider, 1986; Umbreit, 1994). Multi-site studies within England (Marshal and Merry, 1990), the United States (Coates and

Gehm, 1989; Umbreit, 1994) and Canada (Umbreit, 1995) have confirmed most of these findings. It is becoming increasingly clear that the victim offender mediation process humanizes the criminal justice experience for both victim and offender; holds offenders directly accountable to the people they victimized; allows for more active involvement of crime victims and community members (as volunteer mediators) in the justice process; and suppresses further criminal behavior in offenders. During the early 1980s, many questioned whether crime victims would even want to meet face-to-face with their offender. Today it is very clear, from empirical data and practice experience, that the majority of crime victims presented with the opportunity of mediation chose to engage in the process, with victim participation rates often ranging from about 60-70% in many programs.

Concluding Remarks

The growing field of mediating conflict between crime victims and their offenders is an important element within the larger field of alternative dispute resolution. By responding to certain types of criminal behavior as conflicts between individuals within community settings, rather than exclusively focusing upon state interests, the victim offender mediation movement in North America and Europe represents a challenging new vision of how communities can respond to crime and victimization. The question may not be whether victim offender mediation is on the fringe of the criminal justice system. Rather, the key question may be the criminal justice system is on the fringes of justice. The growing interest in victim offender mediation comes from its ability to facilitate a real and understandable sense of justice for those most directly affected by crime: victims, victimized communities, and offenders. By asking "who was harmed", "how can the harm be addressed", and "who is responsible for making that happen", victim offender mediation breathes life into the emerging concept of restorative justice and its focus upon development of a far more

balanced and effective criminal justice system that recognizes the need to involve and serve victims and victimized communities, as well as offenders.

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What's Going On Out There?

What's Going On Out There? As part of APPA's continuing efforts under its **Capacity Building in the Juvenile Justice System: Addressing the Need for Substance Abuse Treatment** grant (jointly funded by the Center for Substance Abuse Treatment and Office of Juvenile Justice and Delinquency Prevention), we would like to hear from our members and readers. If you are aware of an agency that has created a community coalition or comprehensive plan to provide the substance abuse treatment services their youthful clients require, please let us know. We are in the process of developing a Juvenile Justice/Substance Abuse Systems Development Training, to be held in the Fall of 1996, and would like to gather information from such agencies to contribute to the planned curriculum. The program will focus on developing community and inter-agency relationships and in-house, community juvenile justice agency-based treatment programs to meet the needs of substance abusing youth.

If you are a member of, or are aware of, a community-based juvenile justice agency that has developed a community coalition

or comprehensive plan to provide substance abuse services to alcohol and drug-involved youth, please contact us. To help us develop our training curriculum, we would like to learn:

- The coalition's or agency's primary contact person, agency, address, and telephone number.
- How the agency determined its needs and how are they being met now?
- Who made up the planning and decision making team and how it arrived at the present plan of operation?
- What would the planning team or the juvenile justice agency do differently now?

If you are aware of such a coalition, or would like to be on the mailing list for the upcoming Juvenile Justice/Substance Abuse Systems Development Training, please contact:

Tanya L. Dickinson, American Probation and Parole Association, P.O. Box 11910, Lexington, KY 40578-1910, (606) 244-8211 (voice), (606) 244-8001 (fax), tdickins@csj.com (e-mail)

How Powerful is Prison as a Crime Fighting Tool?

By Kenneth F. Schoen and Julie Peterson, Edna McConnell Clark Foundation

Many politicians and criminal justice managers have claimed credit for the sharp drop in violent crime in several major cities across the United States over the past year. California's Attorney General believes the state's tough "three-strikes" statute has scared would-be criminals from committing crime. New York City's Police Chief points to his strategic deployment of police in high crime areas as the cause for the drop. Advocates for greater levels of imprisonment attribute the decline to the country's massive incarceration rate increase over the past 30 years.

How big a role imprisonment plays in controlling crime is a topic of major debate. Whereas the five-fold increase in the rate of incarceration over the past three decades has surely had some affect on the level of criminal activity, it alone does not account for such a sudden decline. While incarcerating offenders keeps them from committing more crimes while behind bars, for all the reliance on incarceration, the compelling fact remains that each year an estimated 400,000 individuals are discharged from state and federal prisons and return to the community. Some successfully manage the transition back into society, but some do not, and the criminal justice system does little to prepare offenders to make the adjustment.

United States Incarceration Policy—A Historical and International Perspective

To better understand the role of imprisonment in controlling crime, it is helpful to take a historical perspective. Before 1980, the country's rate of incarceration (the number of people im-

prisoned for every 100,000 people in the population) remained fairly stable. But the rate of incarceration has grown spectacularly over the past 15 years. Since 1980, the number of people locked up has more than tripled. There are now over 5 million people in the U.S. under the supervision of the criminal justice system: 1.5 million of them in prison or jail. An additional 3.6 million people are on probation and parole. [See chart 1: "U.S. Incarceration Rates per 100,000 Population".] If it continues to increase, this number will soon rival the 6 million enrolled in the nation's institutions of higher education.

Across the country, prisoners are filling local, state and federal facilities in record numbers. Every week, 1,602 new prison beds are needed, creating a demand for more and more prisons to be built. Overcrowded prisons and jails have become the norm in many jurisdictions; in 1992, one out of every four jails, and prisons in 39 states were under court-order to reduce crowding and/or correct unconstitutional conditions. As of January 1994, federal and state governments were in the process of constructing 78 new prisons and expanding an additional 78, altogether adding 86,117 new beds at a cost of \$1.8 billion.

America incarcerates five times as many people as Canada and seven times as many as most European democracies—despite the fact that we have similar overall rates of crime for most offenses. [See chart 2: "International Rates of Incarceration per 100,000."] A twenty nation survey found that four nations (New Zealand, Netherlands, Canada, and Australia)

exceeded the U.S. rate of victimization for the 11 crimes surveyed, including robbery, burglary, and car theft. Among individual offenses, the survey found that burglary rates in the U.S. were exceeded by New Zealand, Czechoslovakia, Australia, and Canada; that England, Australia, and New Zealand had higher rates of car theft; and that five nations (Czechoslovakia, Poland, Australia, Canada, and West Germany) had higher rates of sexual assault against women. Looking at rates of violent crime, we see sharper distinctions between the U.S. and most other nations, in large part due to the role of firearms in U.S. crime rates. Since a violent offender is generally more likely to be incarcerated upon conviction than a non-violent offender, a higher violent crime rate would be expected to result in a higher imprisonment rate.

Nevertheless, the data on crime victimization overall does not provide an explanation for the high incarceration rate in the U.S. While it remains possible that crime rates account for part of the difference in rates of incarceration, the magnitude of the difference between the U.S. and other nations is so great that overall crime rates cannot account for the disparity. Other factors, such as mandatory sentencing laws, longer prison terms, and the nation's war on drugs, must be at work.

Why Hasn't Incarceration Had More Impact on Crime?

While prison plays an essential role of incapacitating dangerous felons, it has not had a definitive effect on reducing overall crime. Crime rates have been stable or declining for the last twenty-

five years. Since 1973, the overall number of victimizations has declined six percent, robbery has dropped 12 percent, and the murder rate has stayed roughly the same, although homicides by and of minority youth have increased markedly, due primarily to the interaction of drug trafficking and easy access to guns. [See charts 3 & 4: "Homicide Rate by 14-17 Year Old Males" and "Firearm Homicide Deaths".] In fact, your chance of becoming a victim of violent crime depends almost entirely on who you are and where you live. [See chart 5: "Victims of Violent Crime".]

Why hasn't incarceration had more of an impact on crime? First of all, the relationship between committing crime and going to prison is conspicuously remote, and will remain so despite the continuing increases in the national rate of incarceration. For example, only half of all violent crimes are reported to the police; less than half of those reported result in an arrest. Only about two percent of all reported crimes result in a conviction. On the other hand, more than 75 percent of those convicted of a violent crime are incarcerated. [See chart 6: "The U.S. Crime Funnel".]

Enacting harsher sentencing policies will have no impact on those who are never apprehended or convicted. Moreover, the threat of longer prison sentences does little to deter violence, since most violent crime is committed impulsively, often under the influence of drugs or alcohol. A wide variety of economic and social factors outside the control of the criminal justice system contribute to crime rates. The criminal justice system will always be a reactive system that comes into play after crimes are committed. Preventing crime must be the primary crime control strategy.

Moreover, high rates of incarceration have little or no correlation to rates of crime. States with high rates of incarceration may or may not have high rates of crime. States with low rates of

incarceration. [See chart 7: "Shifts in Incarceration and Violent Crime Rates 1984-93".] For example, prison population rates in Texas and Michigan

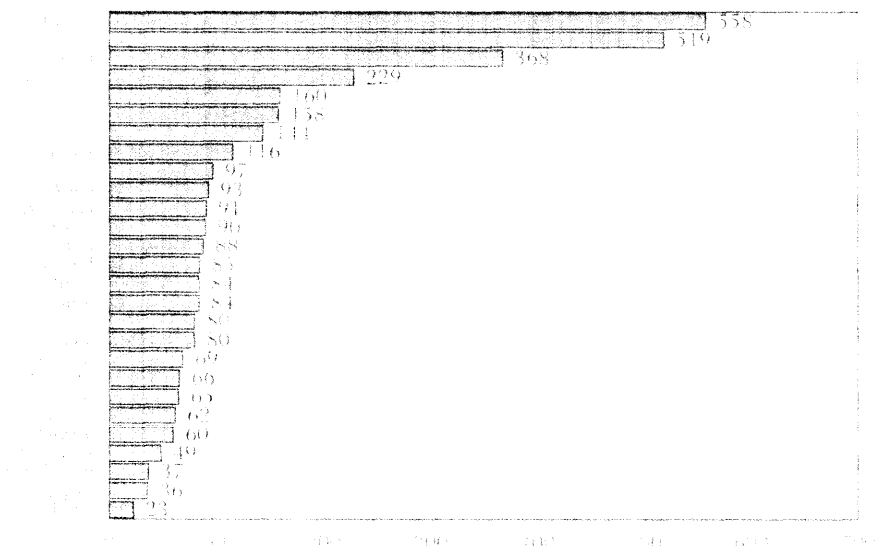
increased by approximately the same amount from 1984 to 1993. Yet Texas experienced a higher than average increase in the rate of violent crime while

Chart 1:
USA — Incarceration Rates
U.S. rate 354.3 — Per 100K Population



1994 Bureau of Justice Statistics

Chart 2:
International Rates of Incarceration — 1992-93
Rates includes jails



Michigan experienced a significantly lower increase in the violent crime rate. And while Louisiana had the nation's highest rate of incarceration in 1992

and also had a high crime rate (fifth in the nation), Oklahoma was third in its imprisonment rate despite being just 21st in its crime rate. At the other end

of the spectrum, North Dakota was lowest in the nation in both crime and incarceration rates, but Mississippi was 40th nationally in its rate of incarceration despite having the 16th highest crime rate. As these numbers indicate, decisions made by legislators and criminal justice officials, including sentencing legislation, parole policies, and the availability of sentencing options and community resources, all play a greater role in determining incarceration rates than the number of crimes committed.

Other dynamics have a much greater impact on the level of violent crime than do rates of incarceration. Demographics indicate that overall crime rates tend to rise and fall with the number of males in the 15-24 age group. For the past 15 years, demographers have been documenting a gradual reduction in the size of the high crime prone age cohort. For the crimes of burglary, robbery and assault, for example, the peak age of crime commission is 18. Within six years, these rates are half their peak. This "aging out" of crime phenomena has two implications for policy: 1) for each succeeding year that offenders are locked up in prison, fewer crimes are being prevented than the year before; and 2) unless the factors leading to high crime rates in the 15-18 year age range are addressed, incarceration will remain an "after the fact" response to address the new annual cohort of potential offenders.

The "replacement" effect of crime commission also limits the utility of incarceration as a means of crime control. In the late 1980's, scholars began to consider how replacement of criminals may affect crime rates during periods of high incarceration. The term co-offending was used to refer to the fact that a large percentage of crime is committed by offenders behaving in groups. This is particularly characteristic of drug crimes and violent street crimes, such as robbery. The question is the degree to which the apprehension and incarceration of one member of a co-offending

Chart 3:
Homicides Committed by 14-17 Year Old Males

Rate per 100,000

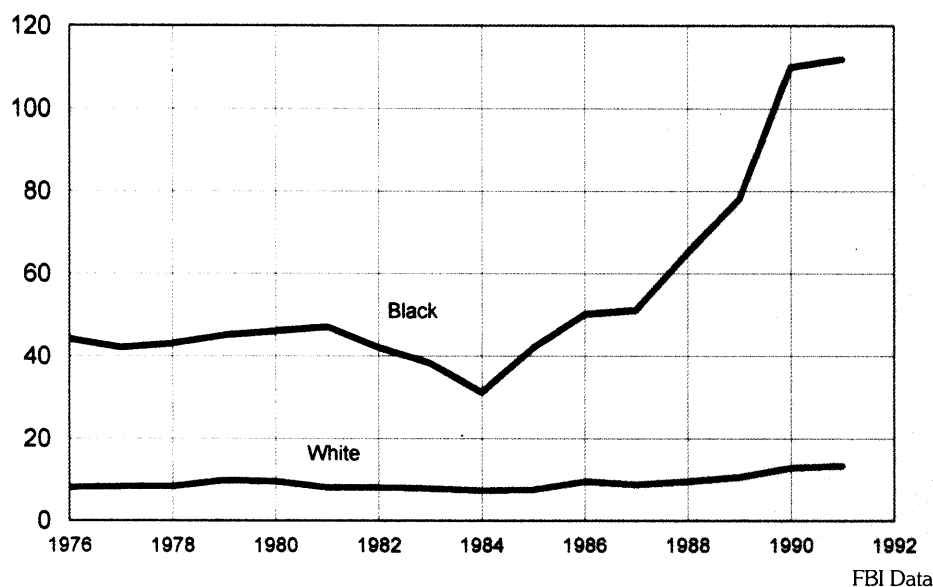
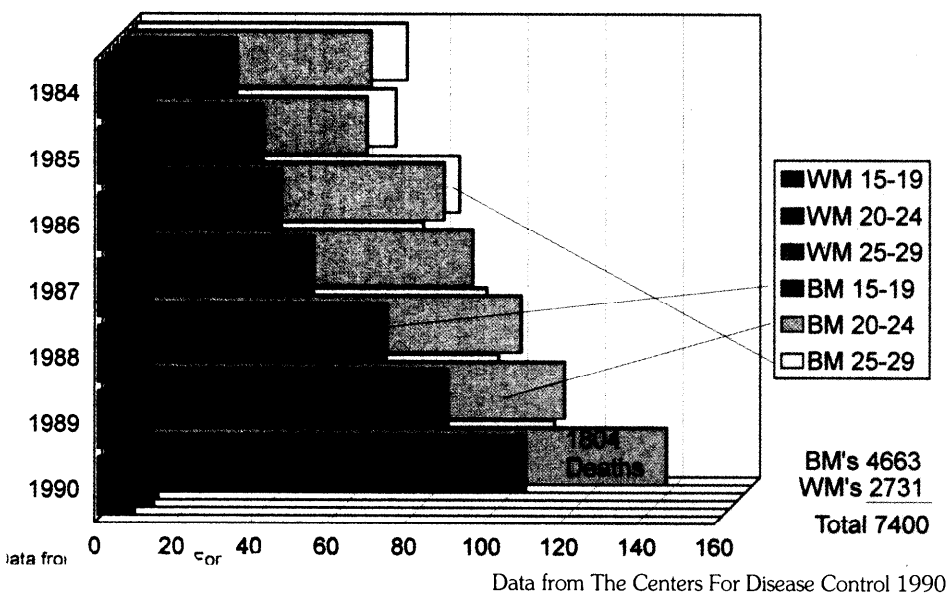


Chart 4:
Firearm Homicide Deaths

Rate per 100,000



group ends the criminality of the group or merely causes the group to recruit a new member. A related question is the degree to which the recruitment process enlists persons who otherwise would not have been involved in criminal behavior.

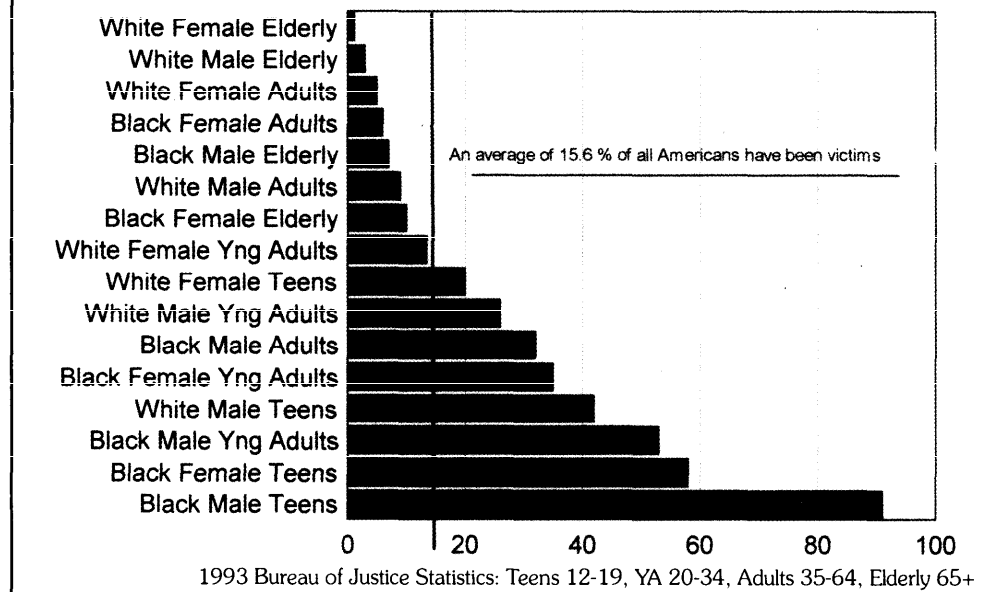
As we have seen most clearly for drug offenses, the massive increase in the use of imprisonment for drug offenders in the 1980's had little discernable impact on drug abuse or drug crimes. This might be explained in part by the fact that the incarceration of drug offenders, in the face of a stable demand for drugs, creates job openings in the drug delivery enterprise and allows for an ever-broadening recruitment of citizens into the illegal trade. This had led to speculation that policing and incarcerating drug offenders results in greater involvement of younger males as workers in the drug market. As long as a market exists for drugs, new potential sellers will emerge to take the place of those who are locked up.

Who Goes To Prison?

In fact, most offenders are not dangerous. Eighty-seven percent of offenses reported nationwide are non-violent; and of the remainder, an overwhelming majority do not result in any injury. Eighty-four percent of the prisoners that account for the increase in admissions to prison since 1980 were non-violent offenders. In the federal system, over one fifth of the prisoners are classified as low grade drug offenders — people with no prior commitment, no record of violence, and no involvement with sophisticated criminal activity.

Those who promote the increased use of incarceration often point to the fact that 94 percent of state prisoners have been convicted of a violent crime or are repeat offenders. It is helpful to "unpack" this statistic to better understand the types of offenders in state prisons. Forty-nine percent of people in prison have been convicted of a violent

Chart 5:
Victims of Violent Crime
Rate per 100,000



crime, and 13 percent of offenders in prison for a non-violent offense have a prior criminal history that includes a violent offense. Yet almost half of these violent crimes are simple assaults without injury, such as a barroom or schoolyard fight. People convicted of a violent offense are not necessarily dangerous or predatory — examples include battered women who strike back at their abusers and look-outs during robberies. [See chart 8: "Percentage of Violent/Repeat Offenders in U.S. Prisons".]

Thirty-eight percent of those behind bars have never been convicted of a violent crime, and of these, six percent (some 60,000 inmates) have no criminal history at all. During the past decade and into the present, drug offenders represented the largest group of offenders sent to state prison. [See chart 9: "Increase in New Court Commitments to State Prison".] By 1991, one in four inmates nationwide was either serving time or awaiting trial for a drug offense, compared to just one in 11 inmates in 1983. Drug, property and public order offenders accounted for 84

percent of the 155 percent increase in new court commitments to state prison from 1980 to 1992, while violent offenders accounted for only 16 percent of the increase.

The emphasis on law enforcement and incarceration for drug offenders has been coupled with a steady decline in the proportion of federal anti-drug funds earmarked for prevention and treatment. In 1979, almost half of the \$873 million federal anti-drug budget was spent on prevention and treatment. In 1995, almost two-thirds of the \$12 billion budget was spent on law enforcement, pulling thousands of drug offenders into the criminal justice system each year. And the federal anti-drug budget is just a fraction of state and local anti-drug spending on both law enforcement and criminal justice.

Overall, men make up 94 percent of the national prison population; the median age of state prisoners is 30. It is estimated that 50 to 75 percent of all state prison inmates are unable to read. Only one-third of prisoners nationwide have completed high school. By con-

Chart 6:
The United States Crime Funnel



U.S. Department of Justice 1993

trast, in the general population, 85 percent of all men ages 20 to 29 have high school diplomas.

The Racial Composition of the Nation's Prisons

The criminal justice system falls most heavily on minorities. Relative to their populations, there are seven times as many minorities in prison as whites. Nearly one in three (32.2 percent) African American males in the age group 20-29 is under criminal justice supervision on any given day — in prison or jail, on probation or parole. The proportion of Hispanics in state and federal prisons doubled from 1980 to 1993, rising from 7.7 percent of all inmates to 14.3 percent. In many cities, half of the young African American men are under the control of the criminal justice sys-

tem. In Baltimore, the figure is 56 percent; in Washington, D.C. it is 42 percent. In a single year in Los Angeles, one third of the young African American men spend time behind bars. The number of African American males in prisons and jails — 583,000 — is greater than the number of African American males enrolled in higher education — 537,000. The proportion of white offenders on probation and parole is far greater than for blacks and Hispanics. [See chart 10: "Males 20-29 Under a Penal Sanction".]

Rates of offending are higher in impoverished minority communities, but not high enough to explain the disparity. Rates of offending in middle class minority communities are the same as the general population. For example, African Americans constitute 12 per-

cent of the U.S. population, 13 percent of the drug-using population, but 74 percent of the people in prison for drug possession. [See chart 11: "Blacks, Drugs and the Criminal Justice System".] In Baltimore, 11,107 of the 12,965 persons arrested for drug abuse offenses in 1991 were African Americans. Like most states, over the years, New York has come to lock up more and more black and Latino people — people of color make up more than 83 percent of the state's prison population, while they represent less than 25 percent of the state's general population. Nationwide, blacks and Hispanics comprise 12 percent of the general population and 52 percent of the prison population. The vast majority of black and Latino inmates come from low-income, inner city communities. [See charts 12 & 13: "Racial Composition in New York State Prisons" and "NY State Prison Commitments." Although studies have shown that the majority of people using and selling drugs are white, over 90 percent of the drug offenders in prison in New York State are people of color. [See chart 14: "Drug Offenders in NY State Prisons".]

Latinos, Asians, Native Americans and other racial groups are also over-represented in the prison population in comparison to their numbers in the general population. [See chart 15: "State and Federal Prison Population".] This disparity can be explained in part by the nation's "war on drugs," which translates into greatly expanded arrests, convictions and punishment of street level dealers, especially those who tend to operate openly in large urban neighborhoods which makes them more likely to be caught in local police sweeps. These policy, strategic and tactical decisions make inevitable the disproportionate impact of the criminal justice system on poor, urban, minority populations.

Women in Prison

Women and children have suffered

disproportionately from the imprisonment binge. Women represent the fastest growing classification of prisoners nationwide, with most offenses being for non-violent property offenses such as shoplifting, check forgery or substance abuse. In New York State, for example, 70 percent of all women committed to prison in 1994 were convicted of non-violent drug offenses. African American women have experienced the greatest increase in the rate of criminal justice control of all demographic groups in recent years, increasing by 78 percent from 1989 to 1994. The number of black women incarcerated for drug offenses in state prisons increased by 828 percent from 1986 to 1991.

How Much Does Incarceration Cost?

In the constantly changing economy of the U.S., criminal justice is a growth industry. The nation spends about \$100 billion annually on law enforcement — more than the entire combined federal budgets for Head Start, job training programs, AFDC, Housing Assistance and Food Stamps. Expenditures for law enforcement have quadrupled since 1980. Law enforcement has become a primary government response to social and economic stress. Companies that receive this public money have an increasing interest in continuing the expansion of the justice system, regardless of the wisdom of the policy.

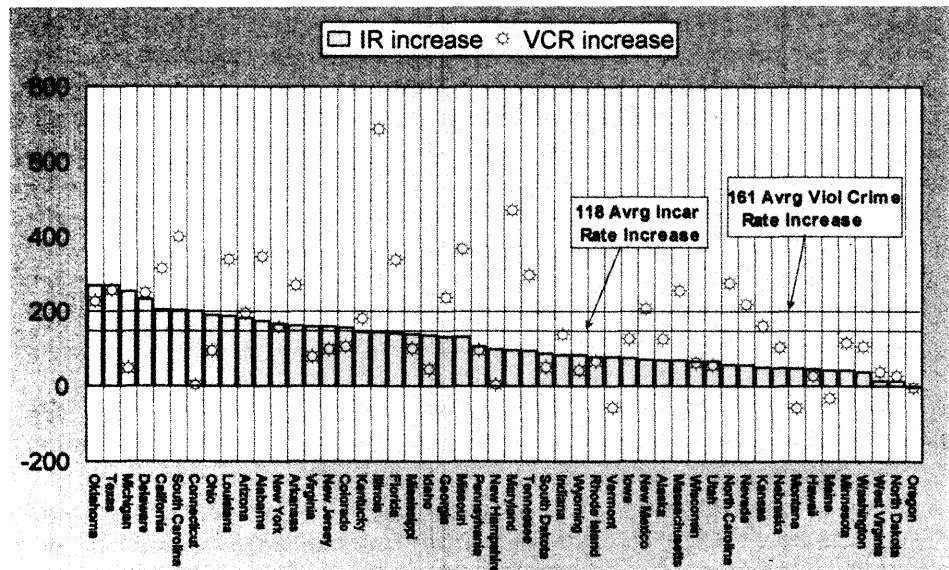
The cost of incarceration nationally is estimated at \$26.8 billion annually. The estimated cost of incarceration for drug offenders alone was \$6.1 billion in 1991. The average cost for incarcerating a single prisoner for a year is \$22,000; a 20 year old incarcerated for life will cost tax-payers an average of \$1.8 million. And costs are growing substantially due to the health care needs of an increasingly aging and AIDS-afflicted inmate population. With prisons mushrooming throughout the country despite increased pressures to

contain government expenditures, it is easy to lose sight of the fact that the average cost of building each new prison

cell is \$54,000 excluding debt service on money borrowed to finance construction.

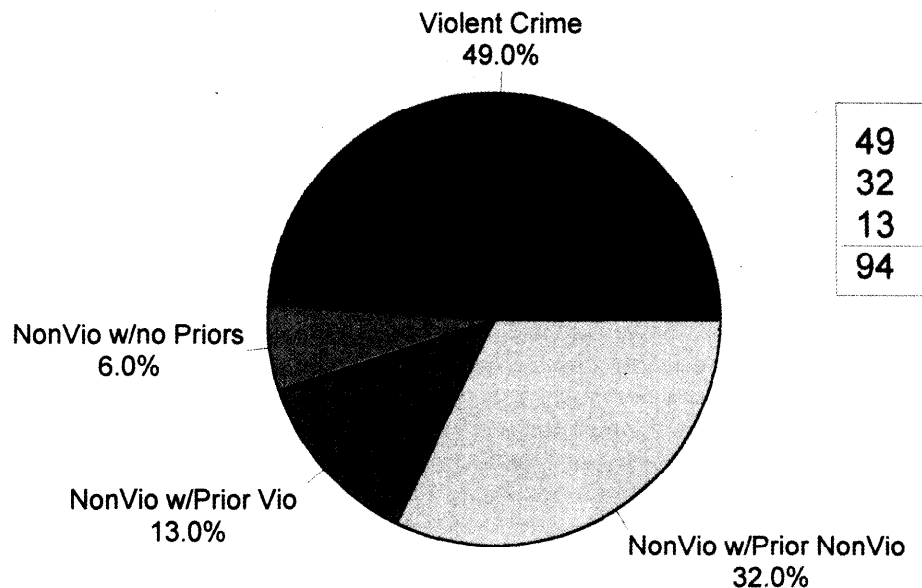
Prison costs are rising faster than any

Chart 7:
Shifts in Incarceration and Violent Crime Rates 1984 to 1993
Per 100,000 population



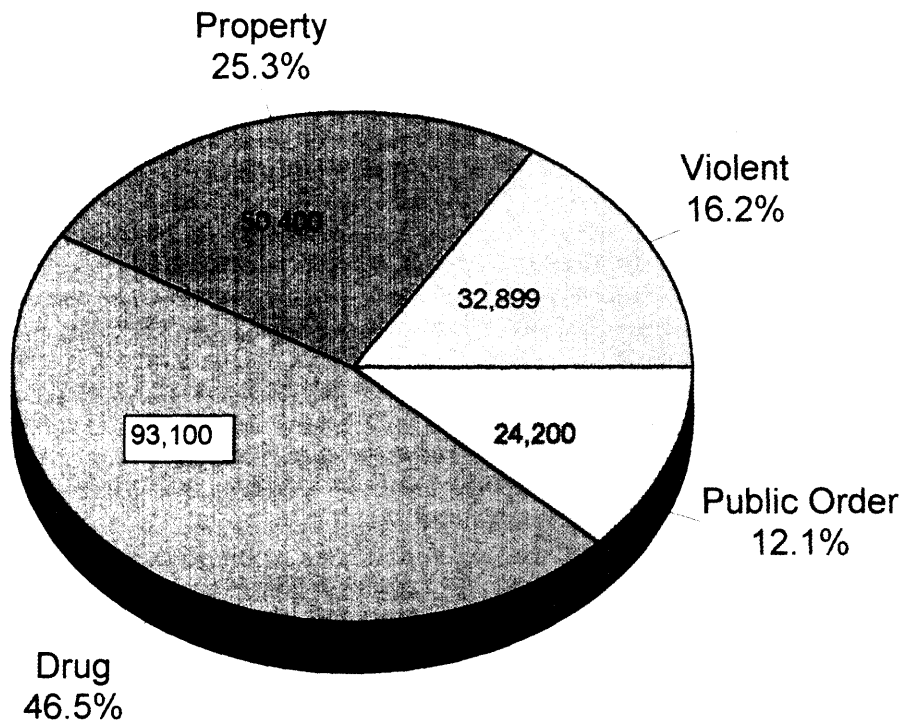
U.S. Department of Justice 1990

Chart 8:
Percentage of Violent Repeat Offenders in U.S. Prisons
94% with a violent or a prior offense



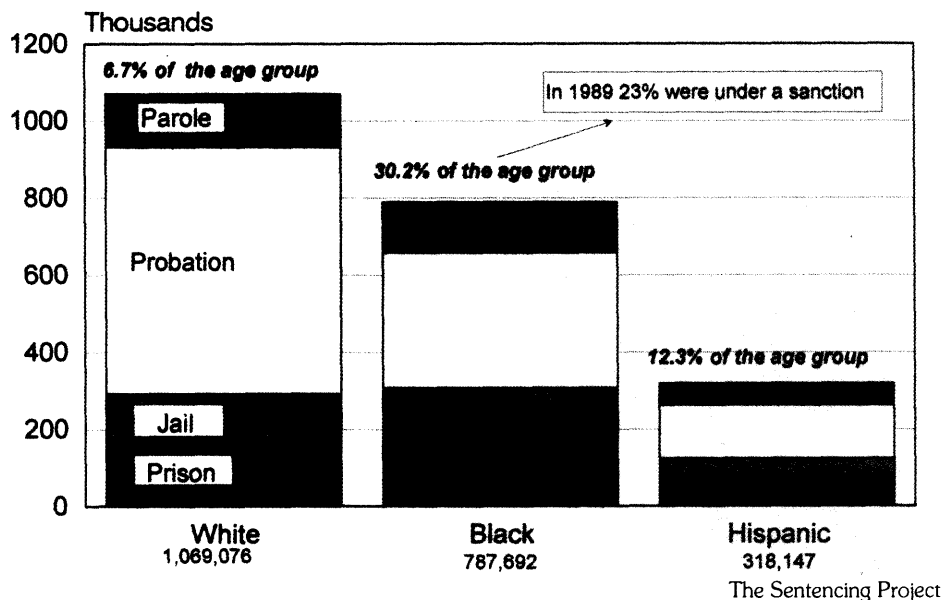
Bureau of Justice Statistics — 1991 sample of 711,111 adults in state prison

Chart 9:
Increase in New Court Commitments to State Prison
U.S. 1980 (131,215) to 1992 (331,015)



Bureau of Justice Statistics

Chart 10:
Males — 20-29 Under a Penal Sanction in 1994



other category of state spending. Increases in prison spending average twice as high as increases in education spending. An emerging "corrections-industrial complex" thrives on the billions of dollars flowing from public treasuries to private contractors specializing in designing, constructing, and equipping prisons. In economically depressed areas, local legislators lobby to get job-producing correctional facilities located in their districts. This is understandable, since four out of every five dollars of prison operating costs go for employee salaries and facility maintenance.

Some policy analysts argue that incarceration is an effective way to reduce crime and therefore reduce the cost of crime to victims and society. To support this argument, they rely on reports from prison inmates about their own criminal behavior patterns. These inmate self-reports are used to estimate the average number of crimes per inmate and the cost to victims; the figures are then used to determine the cost of crimes that could be prevented by imprisoning more offenders or imprisoning offenders for greater lengths of time. When the cost of avoided criminal activity is higher than the cost of a prison bed, society reaps a net financial benefit by imprisoning an offender.

While prison is likely to be cost-effective for violent and dangerous offenders, it is not necessarily cost-effective for those low-risk offenders who could be well-supervised in the community without jeopardizing public safety. We know that criminal activity abates with age; many studies show that the older an offender gets, the less likely he or she is to commit additional crimes. Given this fact, it can be understood that the rate of return on keeping a low-level offender in prison is diminished over time. Moreover, since high rate offenders are more likely to be arrested and sentenced to prison than low rate offenders, the allocation of the same average rate of crimes averted to all

offenders inflates any presumed cost savings of incarceration.

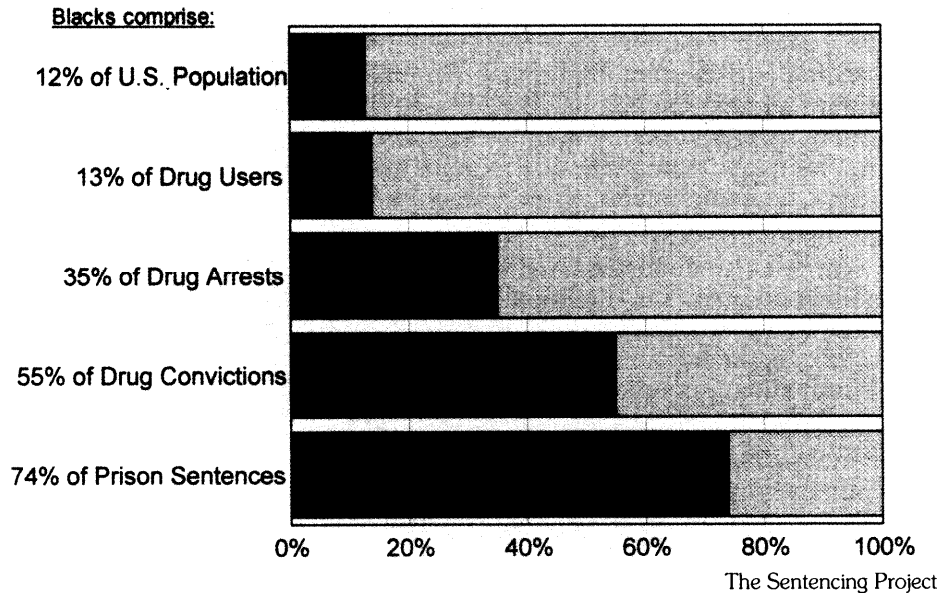
Once prisons are built, they are in many respects self-perpetuating entities. Prisons are constructed to last for 50 to 100 years and their continued use over time perpetuates a culture that makes their use seem logical and rational. While few persons would argue with the necessity for a certain level of imprisonment in society, it is far from clear that incarceration is the only, or best, means of either preventing or controlling crime. A broad range of policies, both within and outside the criminal justice system, exist to accomplish these objectives, and different nations make use of these resources to varying degrees. Unless incarceration is examined in this context, policymakers will be confronted with a set of crime control options that is much more restrictive than necessary.

The Impact of Incarceration on Communities

The best that can be said is that the enormous increase in rates of incarceration has caused a marginal decrease in crime. The worst that can be said is that the expansion caused terrible collateral harm to society by draining money away from other public needs and perpetuating the disintegration of communities in crisis. We need to ask what are the unintended consequences for the communities from which large numbers of inmates are removed, and to which they return? How has the heavy use of incarceration affected individuals, families and neighborhoods outside the prison walls? Far larger numbers of people have a grounded knowledge of prison experience today than did 15 years ago. Given that the prison experience is becoming more normalized and concentrated in certain communities, it is likely that the effects of incarceration extend well beyond the individuals who are incarcerated.

A 1991 Bureau of Justice Statistics

**Chart 11:
Blacks, Drugs, and the Criminal Justice System — 1994**



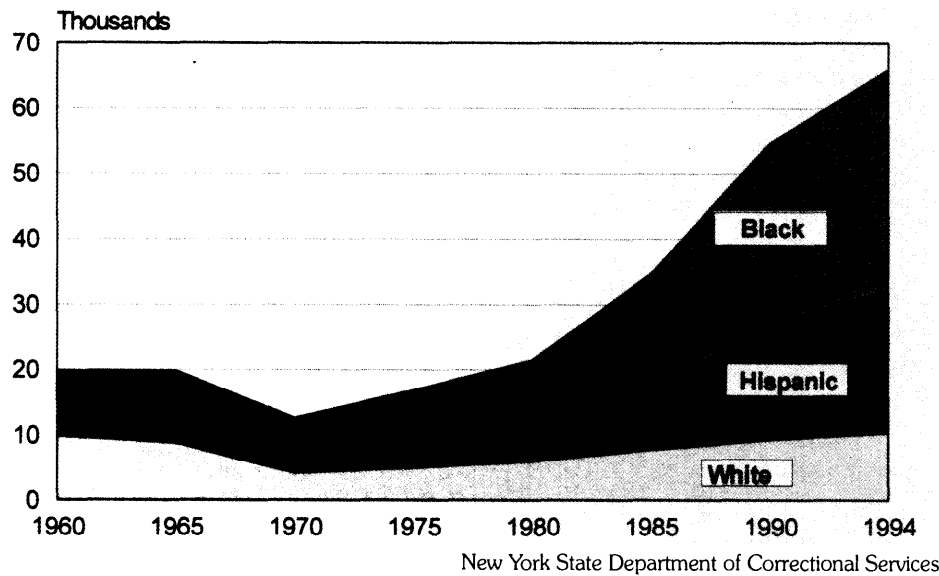
survey of state prison inmates found that two-thirds of the women and more than one-half of the men in prison are parents of children under the age of 18. Recent estimates indicate that more than one and a half million children have a parent in prison. While there is little empirical research on children of inmates, other research on parental absence suggests that family dissolution and the restructured relationships that follow can have severe emotional and physical consequences for children. The withdrawal of a parent may also reduce the economic and social resources on which children depend. Of course, incarceration may remove a parent who, through idleness and neglect or violence and abuse, damages the family. Even in dysfunctional families, however, the incarceration of a parent may only compound the problems.

The few studies of prisoners' families indicate that children experience trauma surrounding separation, stigmatization, and isolation, and that they frequently respond with antisocial behaviors. Searching for attention, pre-teens and teens are at a high risk for

delinquency, drug addiction and gang involvement. A 1992 survey conducted by the New York Department of Juvenile Justice shows that a substantial number of youth in New York detention facilities — 46 percent — had a family member in prison. Moreover, 47 percent of female state prison inmates and 37 percent of male inmates reported that at least one member of their immediate family had been incarcerated.

High rates of incarceration affect all inner-city youth, not only the children of prisoners. As increasing numbers of former prisoners return to their home communities, more neighborhood youth will have ties to individuals who have experienced incarceration. In some communities, young people are more likely to know someone who has been involved with the criminal justice system than someone who is professionally employed. There is also evidence that male ex-inmates associate with younger males, who are impressed with these "veteranos". Many young men regard time in prison as a rite of passage. As ever more young men are incarcerated, the ethos of the correc-

Chart 12:
Racial Composition in New York State Prisons



tional facility — the accommodation to violence, erosion of sensitivity, generalized hostility — have come out to the streets and made them more dangerous.

At the same time youth in high-poverty communities are being exposed to prison culture through their families and neighbors, the juvenile justice system is playing a major role in the lives of increasing numbers of young people. Between 1978 and 1990, admissions to juvenile facilities experienced an overall growth of 20 percent, reaching nearly 690,000. By 1993, the total number of admissions to public and private juvenile correctional facilities had risen to 803,770. Although growing numbers of young people are entering correctional facilities, we know very little about the nature of that experience or its effect on the attitudes, behavior, and development of youth who have been confined. Accounts by youth who have been in detention suggest that the repercussions can be profound. Once labeled a delinquent, a young person may begin to structure an identity around the label. In some communities,

juvenile detention is the anticipated first stop on a road leading directly to prison.

In 1988, Congress directed the Office of Juvenile Justice and Delinquency Prevention to determine the extent to which detention facilities conform to recognized national and professional standards. The study, *Conditions of Confinement*, found that in 1991, 47 percent of confined youth were held in facilities whose populations exceeded their design limits. A third of the population were living in rooms too small to meet national standards. Both of these factors have been linked to incidents of youth-on-youth violence. According to the study, the most prevalent and alarming problems in juvenile facilities involved living space, personal security, control of suicidal behavior, and health care — four areas that directly affect development. Given the grim reality of life in juvenile detention, it seems unlikely that the experience would have developmental benefits.

Youth who receive such inhuman and inconsistent treatment lose respect for authority figures. In addition, confining youth who have behavioral problems in

the same setting at a time when they are seeking to meet their developmental needs can solidify networks that encourage continued involvement in crime. Moreover, for youth who are already disadvantaged, contact with the juvenile justice system can severely diminish their employment opportunities.

The high rate of unemployment among former prisoners may have the most detrimental effect on families, and by extension, on communities. Given that the majority of state prison inmates are between the ages of 25 and 34 — prime working years — there are undoubtedly employment implications of incarceration. Ethnographic studies indicate that after release from prison, individuals have difficulty finding and keeping a job. These findings are not surprising, as inmates rarely come out of prison with enhanced job skills. The ordinary strains of a civilian workplace are difficult to manage and, in general, younger inmates seem to acquire the most dysfunctional work habits.

Moreover, simply having a prison record presents an obstacle to finding a job, as does the intense post-release parole surveillance, which often interferes with work. Immediate post-release difficulties obtaining work lead many former prisoners to adopt lifestyles based on idle time and pre-prison associations that make it hard for them to adapt to work, even under the most supportive working conditions. This marginalization of ex-offenders often renders them extraneous to productive society.

At the same time that the prison experience weakens employment opportunities for former prisoners, it can strengthen inmates' connections to gangs. This in turn exacerbates neighborhood disorder and increases the risk that younger people will be recruited into criminal activity. Prisons are single-sex, very racist, and often very violent. Researchers and practitioners speculate that violent prison interpersonal styles, exported to communities, may increase

violence in street networks. The pattern may also contribute to the physical and emotional abuse of women and children by men.

Recommendations for a More Rational Crime Policy

As the numbers above indicate, the high rate of incarceration in the U.S. is not solely a product of higher rates of crime than other nations, nor has it achieved a substantial impact on reducing crime. Despite a quadrupling of the inmate population since 1973, Americans do not feel safer and are still victimized by crime and violence. Many professionals in the field as well as lay people concerned about the problem are actively searching for constructive responses. Numerous public opinion surveys have shown the public to be far more responsive to a broad range of solutions than is commonly assumed. The problem is that the range of choices generally presented in public policy discussions does not reflect the breadth of possibilities.

To manage their growing prison populations, state and local officials have been expanding the range of criminal sanctions that go beyond traditional sentences of incarceration or probation. Intermediate punishments, also referred to as alternatives to incarceration or community corrections (because they are administered outside prison walls and generally in the offenders community), provide judges with an expanded menu of sentencing options. Intermediate punishment programs are sometimes administered by probation departments, but are often run by non-profit organizations and community service agencies. They are often arrayed in a continuum that provides for graduated levels of supervision. Unlike prison, many of these community-based sanctions emphasize restitution to victims and rehabilitation of offenders. These sanctions can be demanding and restrictive, and in addition, they

Chart 13:
New York State Prison Commitments — Trends from 1980 through 1994

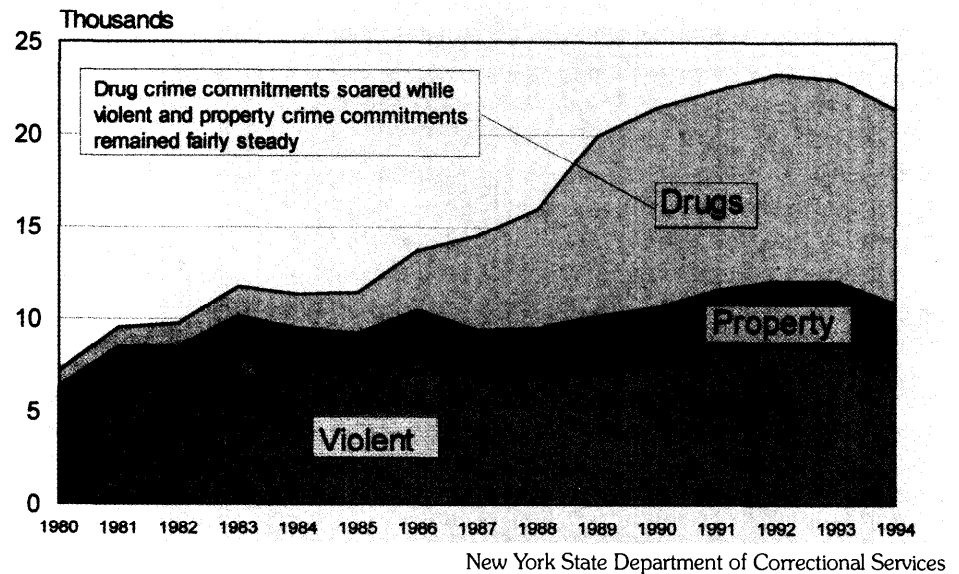
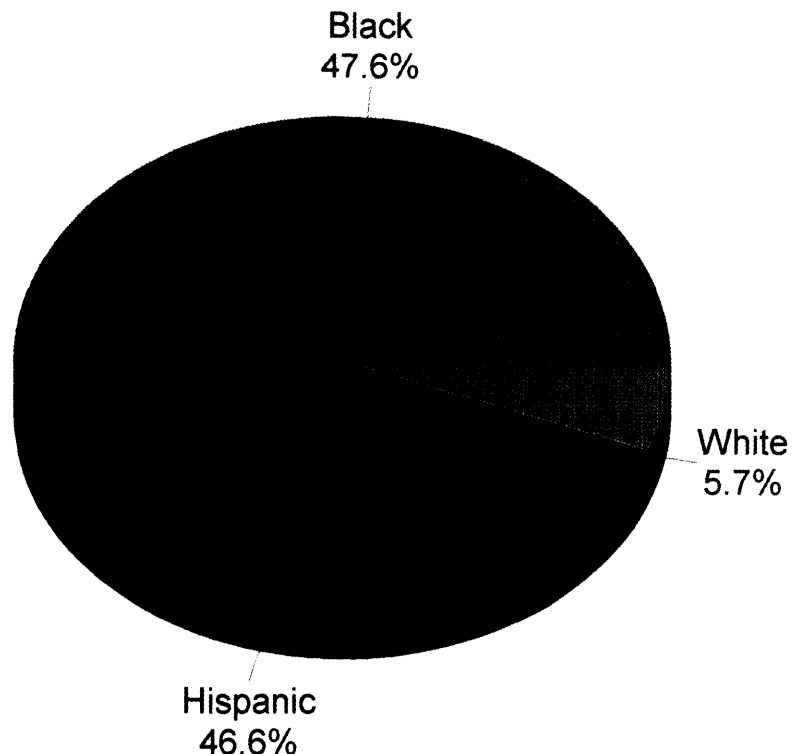


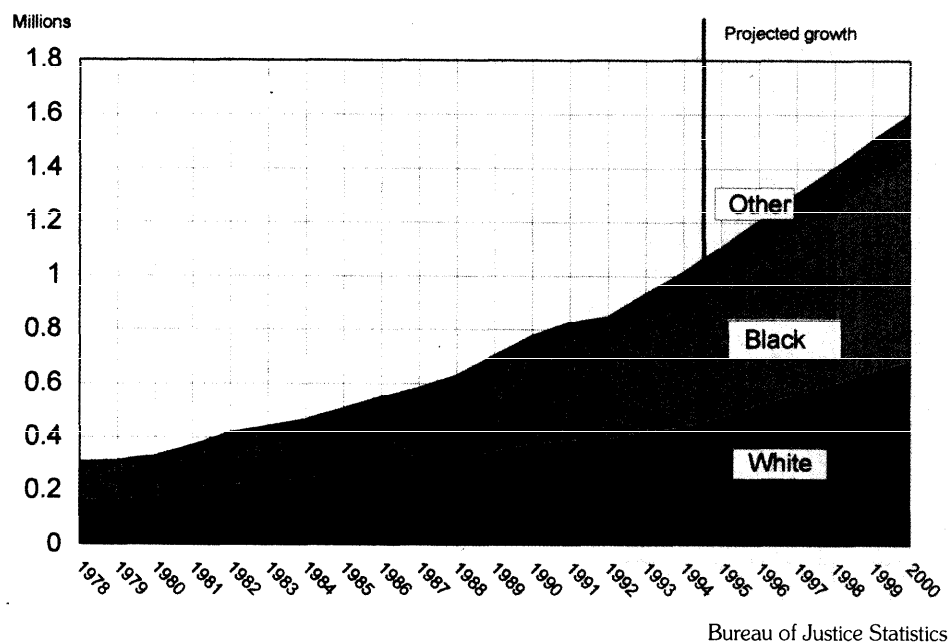
Chart 14:
Racial Composition of Drug Offenders in New York State Prisons
December 1994: 23,081 drug offenders — 35% of the population



New York State Department of Correctional Services

Chart 15:
State and Federal Prison Population — Projected to 2000 from 1995, at
the 1995 Rate of Growth

1995 increase was approximately 8,250 inmates /month - 99,000/yr.



force offenders to take responsibility for their actions.

There are a variety of effective non-custodial ways to punish low-risk offenders and many of these options are much less expensive than prison and more effective at reducing recidivism. If just half of the non-violent prisoners were not incarcerated, about \$8 billion annually could be saved on custodial operating costs alone. This money could then be used to fund less expensive punishment and prevention programs that have been shown to prevent crime. For example, if an addict is convicted of possession of a controlled substance and sentenced to a five year mandatory minimum sentence, the cost to the public of prison alone is about \$110,000. For the same amount of money, society could give the offender one year in prison (\$22,000), one year of residential drug treatment (\$15,000), and three years of supervised probation and outpatient drug treatment ((\$3,500 per

year), and still have \$62,500 left over for savings or other civic investment.

Typically, such programs allow courts to choose from a variety of sanctions, "laddered" according to restrictiveness. The first rung of the ladder is standard probation, where an offender reports to a probation officer periodically, from several times a month to once a year. A more restrictive alternative is a form of intensive probation supervision, where an offender sees a probation officer three to five times a week. The ladder includes further steps, such as restitution and fines, community service, substance abuse treatment, and day reporting, where offenders report daily to a central location. Any of these penalties can be used alone or in conjunction with others. Offenders who violate the rules may be moved up the ladder to house arrest and electronic monitoring, or to a halfway house, residential work release, or boot camp before finally being sent to prison or jail in those cases

where that proves to be the necessary resolution.

A graduated sentencing scheme of this sort enables authorities to maintain expensive prison cells to incapacitate dangerous criminals. At the same time, less restrictive community-based treatment programs and restitution-focused sentences punish low-risk offenders, teaching them accountability for their actions and heightening their chances for rehabilitation, and at a reduced cost to the tax-payer. An expanded range of sentencing options gives judges greater latitude to exercise discretion in selecting punishments that more closely fit the circumstances of the crime and the offender. This approach treats prisons as the backstop, rather than the backbone, of the corrections system.

Crime Prevention

While improved policies around sentencing and corrections can help to create a more balanced criminal justice system and improve its efficiency and effectiveness in controlling offenders, efforts to control crime must occur before the fact if we hope to create safer societies. Studies have shown that children born into poverty who attended a Head Start preschool program have half as many criminal arrests, higher earnings and property wealth, and a greater commitment to family than similarly situated people who did not attend a program. And while no causality is apparent, an interesting relationship emerges when states arranged on a scatter chart are ranked by their incarceration rates and "child well-being" scores. A strong inverse relationship is seen between the level of a state's incarceration rate and the quality of child well-being. Generally, those states with a high rate of incarceration fair poorly on the various indicators of child well-being. [See chart 16: *Relationship of Incarceration Rate and Child Well Being*.]

A comprehensive study of drug treat-

ment in California found that every dollar spent on substance abuse treatment saved taxpayers over seven dollars in reduced crime and health care costs. The study also found that the level of criminal activity by program participants decreased by 66 percent following treatment; the number of crimes involving a weapon or physical force decreased by 71 percent. Yet while 75 percent of men in California prisons have a history of drug use, only 10 percent are involved in a drug treatment program. Current capacity of drug treatment nationwide is inadequate to handle the need for treatment.

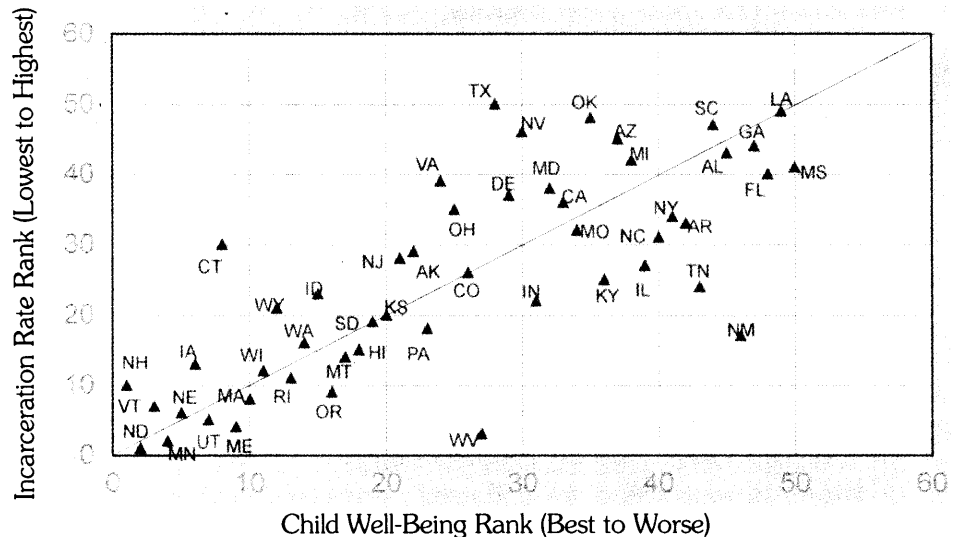
Education is a route to decent jobs and out of crime. In 1991, for the first time in U.S. history, cities spent more on law enforcement than education. Jurisdictions around the country are cutting education budgets because they lack sufficient funds while setting aside huge sums for building and operating prisons.

Existing evidence does not suggest that crime can be dramatically reduced by putting more offenders behind bars. While modest reductions may be possible, major and lasting reductions will likely require social intervention techniques that look toward developing opportunities for the generation of youth being born today that will serve to reduce their chances of becoming offenders as they reach the volatile teen years when far too many turn to crime.

Sources

Anderson, David, *Sensible Justice*:

Chart 16:
Relationship of Incarceration Rate and Child Well-Being
1994 — Rank order of the 50 States



Indicators of child well-being

Percent low birth weight, infant mortality rate, death rate (1-4), teen violent death rate (15-19), juvenile incarceration rate, percent of children living in poverty, percent graduating high school

A Consumer's Guide to Alternative Sanctions, (draft working title), February 1996.

Campaign for an Effective Crime Policy, *What Every Policymakers Should Know About Imprisonment and the Crime Rate*, February 1995.

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Vera Institute of Justice, *Across Prison Walls: The Unintended Consequences of Incarceration*, January 1996. □

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New Publication

Managing Adult Sex Offenders: A Containment Approach

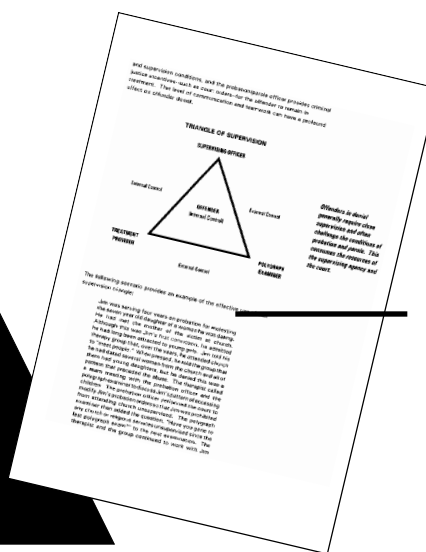
A comprehensive report on sex offender supervision practices in probation and parole agencies across the United States identifies treatment as the cornerstone of a new model for sex offender supervision. The *Containment Approach* proposed by the Colorado Division of Criminal Justice, author of the report, is "a management method grounded in clinical research literature and the day-to-day experience of many criminal justice and treatment professionals. It prioritizes accountability, on the part of the offender and the criminal justice system."

The collaborative and multi-disciplinary effort that went into the development of this document mirrors the inter-agency effort required for the effective supervision and treatment of sex offenders. A comprehensive and unified approach that fosters communication across agencies and understanding about individual risk factors is needed to confront the secretive and compulsive nature of deviant sexual behavior. Contributing authors of the new manual "Managing Adult Sex Offenders: A Containment Approach" share their expertise and knowledge in the areas of law enforcement, clinical psychology, community corrections, and program evaluation.

The manual includes detailed accounts of programs and practices operating in several state and local jurisdictions. The Oregon Department of Corrections formed a Sex Offender Supervision Network to empower staff charged with the difficult task of supervising sex offenders. The probation department in Boulder County, Colorado uses a supervision team to monitor the behavior of sex offenders consisting of the treatment provider, the probation officer, and the polygraph examiner. And probation officers in Jefferson County, Texas have been trained as facilitators of psycho-educational groups for sex offenders. These are just a sample of the exemplary programs attempting to control the risks presented by this offender population.

Kim English, contributing author and editor, concludes the manual with a compelling argument for further research on the treatment of sex offenders: "Because of the enormous social costs, both human and financial, that society incurs as a result of sexual crimes...we must pursue scientific attempts to evaluate what works for whom." This manual, sponsored by the National Institute of Justice and published by the American Probation and Parole Association provides a solid first step for this systematic exploration.

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Managing Adult Sex Offenders: A Containment Approach

This monograph, developed for corrections practitioners, is the product of a study conducted by the Colorado Division of Criminal Justice with support from the National Institute of Justice. These chapters cover topics that surfaced during interviews with various persons from the criminal justice and community corrections fields, or alternatively, are descriptions of innovative and sometimes controversial practices.

The question, "How are the nation's probation and parole agencies managing adult sex offenders?" was addressed by a variety of research methods including:

- A content analysis of sex offense statutes in 50 states;
- A telephone survey of 732 probation and parole supervisors across the country;
- review of research and theoretical literature on victim trauma and sex offender management and treatment;
- A systematic review of manuals, memoranda, correspondence, legislation, administrative orders, protocols and agency policies; and
- Field research with site visits to 13 jurisdictions in six states.

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- | | |
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NIC Update

by George M. Keiser, Chief, Community Corrections Division, National Institute of Corrections

The staff of the National Institute of Corrections want to express our appreciation to all of the individuals, agencies, organizations and professional associations who championed our support during the recent congressional budget cycle. Clearly, NIC would otherwise have been a casualty of the political goal to reduce the size of federal government by eliminating a number of small independent agencies.

Because of your support, NIC continues with its same mission of support and assistance for criminal justice agencies striving to improve their operations. As one congressional staffer expressed his amazement, "We have eliminated much larger organizations than yours and not heard from anyone. We're amazed at the number of letters and telephone calls we have received in your behalf."

It was also, frankly, a very humbling experience to be able to read copies of those letters outlining the accomplish-

ments of your organizations and the role that NIC, with a very limited investment, has been able to play. It was an important reminder for all of us that it is not the amount of money that we throw at problems, but our ability to work together to resolve those problems.

While the language of the appropriation specifies that we will continue our same mission, there will be some technical changes which we must work through. NIC's original legislation attached the Institute to the Federal Bureau of Prisons, but left it with an independent appropriation. The dollars appropriated annually in the past have had no time limits in terms of their expenditure. This has allowed the Institute to reprogram monies not expended in a particular fiscal year or dollars that came back to the Institute as projects were closed out. Beginning this year, NIC's funds are coming out of a portion of the Bureau's appropriation. These dollars will be time limited and will carry

less flexibility in terms of the time frame over which they can be expended. In addition, Congress has eliminated NIC's ability to make awards of grant funds and encouraged that NIC study how it may pay for an increasing portion of its operating expenses through reimbursements from its clientele.

It will take us a while to work through all of these details. What we believe is important is that we are still in business to serve you. We encourage that you continue to make your requests for direct technical assistance and participate in training programs offered through the NIC Academy. With the continued outstanding support of Kathy Hawk, Director of the Federal Bureau of Prisons, we are confident that this transitionary period will be a smooth one.

Thank you again for allowing us to continue to be able to serve you! □

Request for Site Proposals Bids are open for the APPA Winter Training Institute 2000

Completed applications to host this Institute must be received by **November 8, 1996** in order to be considered. The Board of Directors will select this site at their meeting in Salt Lake City, Utah, January 5, 1997.

Any board member, affiliate group or state agency wishing to request consideration of a particular city for this Institute must complete an application to host it. In order to be considered by the Board of Directors, completed applications must be received at APPA by **November 8, 1996**.

Further Information and applications may be obtained from:

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Volunteers in Corrections: Lessons from Internal Evaluations

by Dr. Michael Connelly, Associate Professor of Political Science and Criminal Justice, Southwestern Oklahoma State University, on leave as Senior Research Analyst, Oklahoma Truth in Sentencing Policy Advisory Commission

As noted recently in *Perspectives*, "[w]ith court dockets overflowing, probation and parole caseloads increasing, and at the same time budgets shrinking," the need for "intelligent use of well-trained volunteers in juvenile and criminal justice programs" has grown in recent years (Dash, 1995: 47). However, while impact evaluations exist for some programs in probation and parole (Dash, 1995), formal evaluation from the internal standpoint of the implementing state agencies has been relatively minimal. This study details the findings of internal evaluations by department of corrections in three states—Missouri, Washington, and Oklahoma. From "triangulation" of their common findings and experience, we should be better able to determine what other corrections agencies must consider whenever planning or implementing similar programs.

Methodologies of the Three Studies

The 1990 report of the Volunteer Task Force of the Missouri Division of Probation and Parole (State of Missouri, 1990) anonymously surveyed 364 managerial and line personnel in the Missouri Department of Corrections. The closed-ended, multiple choice questionnaire determined the respondents' involvement and familiarity with volunteers, concerns and attitudes about them, and perceptions of strengths and weaknesses of volunteers and their use in the department and its programs. The perspective of this evaluation, then, was that of the overall department rather than a particular program.

The 1992 Assessment of Pine Lodge Prerelease Volunteer Program by the Washington (State) Division of Offender Programs (State of Washington, 1992) anonymously surveyed three groups involved in the specific program—volunteers, staff, and offenders. Seventy-six offenders, 28 staff, and 50 volunteers responded; the total number of possible respondents was not reported. The surveys were open-ended and inquired as to involvement, familiarity, attitudes, and recommendations for improvement. In addition, structured interviews with selected respondents supplemented the survey results, and each set of data was thoroughly reviewed by the evaluation committee doing the research before final conclusions and recommendations were completed.

As part of a 1994 Assessment of Two Oklahoma Field Service Programs, the author, under a grant for the Oklahoma Department of Corrections and the Oklahoma Criminal Justice Research Consortium (Connelly, 1994), surveyed three groups involved with a mentoring program in Oklahoma's Fifth Probation and Parole District—volunteers, staff, and offenders. The survey was mainly open-ended, with a few closed-ended multiple choice options, and asked perceptions of the programs and their needs as well as of the volunteers themselves, their effectiveness, and recommendations for their improvement. In all, eight of eleven volunteers in the program responded, as did three of six offenders, and three present staff.

Thus, the methodologies for all three studies were quite comparable, al-

though their population bases differed. The Washington and Oklahoma studies analyzed particular volunteer programs while the Missouri study dealt more generally with volunteers in corrections. Having detailed their methods, we can now turn to description of their findings before determining common concerns and recommendations.

The Report of the Missouri Volunteer Task Force

Missouri's Volunteers in Correction Program began in 1971 with the intent "to increase personal contact with the client, broaden community resources of the agency, increase public awareness of the correctional system and develop management skills in officers" (State of Missouri, 1990: unpagged). According to the report, involvement and use of volunteers apparently peaked in 1983 with 613 volunteers and volunteer programs in all forty district offices. At the time of the report, the number of volunteers had dropped 48.5% to 316, and only 75% of district offices had volunteer programs (State of Missouri, 1990: unpagged). The report itself was a response to the decline.

Staff turnover and inadequate training of staff and volunteers had "left us with a line staff which does not understand even the basic concepts of volunteerism" (State of Missouri, 1990: unpagged). Many staff apparently believed volunteers to be "a waste of time," "not effective," and thus "a lower priority in a busy schedule" (State of Missouri, 1990: unpagged).

Approximately two-thirds of managers doubted the department's ability to

attract and keep good volunteers or the volunteers' abilities to handle confidential material properly. However, strong majorities indicated willingness to allocate line personnel time to volunteer supervision and program planning. On the other hand, only about half the managers allocated \$10 or more per volunteer for support materials, provided office or desk space for volunteers, regularly discussed activities with volunteer coordinators, or paid the latter a supervisor's salary. The report concluded that the "dichotomy between

their workload and are willing to spend some time supervising them" (State of Missouri, 1989: p. 10). The key concern was training. "Directors of volunteer programs do not believe they have been adequately trained for the job. Staff do not believe that volunteers are adequately trained" (State of Missouri, 1989: p. 10). The Task Force recommended that the documented decline in effectiveness could only be addressed through more and improved (1) communication, (2) demonstrated commitment from administration, (3) staff allocations, and (4) training (State of Missouri, 1990: unpagged).

Assessment of Washington Pine Lodge Prerelease Volunteer Program

The Pine Lodge Prerelease Program in eastern Washington began in 1990 under the Community Involvement Program at the Pine Lodge Corrections Center. In January 1990 offenders went on the first volunteer escort trip as part of the institution's Community Reintegration Program (apparently a segment of the prerelease program, although the report does not make this clear). By 1991, participation of both offenders and volunteer escorts had grown. For example, in 1990, 2,656 offenders with 620 volunteer escorts went on 450 outings; in 1991, 3,137 offenders with 694 escorts went on 576 outings, with only one escape. Most of the outings were to churches or meetings of Alcoholics or Narcotics Anonymous (State of Washington, 1992: pp. 7-13).

The assessment's Executive Summary compiled the following conclusions about the first two years of the program from the surveys and interviews of offenders, volunteers, and staff:

1. The volunteer programs were generally accepted by staff, volunteers, and offenders.

2. The volunteer program generally did not have sufficient resources and could have been strengthened by addi-

tional funding and staff.

3. Volunteers were not as well trained as possible, according to staff, although the volunteers felt comfortable with their orientation and training.

4. Volunteers and their programs were positively seen by the surrounding community.

5. Communications could have been enhanced between volunteer programs and related units, as well as with staff generally.

6. The Community Reintegration Program was unique in Washington and judged effective by all survey participants (State of Washington, 1992: pp. 4-5).

In light of these findings, the final report recommended that managers of the prerelease program focus on maintenance, evaluation, and improvement of program mission, power and accountability, communication, recruiting, screening and placement, training, teambuilding, recognition and support, and resources.

Mentoring in Oklahoma's Fifth Probation and Parole District

The idea of matching solid community members with selected offenders to provide assistance in reintegration into the community is certainly not new. One of the first modern volunteer service programs, which began in Michigan, was premised on this concept (Leenhouts, 1974). In corrections, the opportunity to bring together established citizens with appropriate offenders is perceived to provide role models and resources to let the offender re-enter the community successfully.

That, at least, was the hope of DA, Paul Anderson when he approached the Oklahoma Department of Corrections (DOC) for its help providing selected offenders for a preliminary mentoring program in Stillwater, Oklahoma. He then approached members of a civic organization and in his church with the proposal of acting as mentors with these offenders. The participating

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Line personnel results were somewhat different, unsurprisingly given their direct supervision of the volunteers. Overwhelmingly, they agreed that volunteers should (1) have close supervision, (2) have a probationary period, and (3) be terminated after six months of unsatisfactory performance (State of Missouri, 1989: p. 7). Most also admitted willingness to supervise volunteers when hired (State of Missouri, 1989: p. 7). A large majority felt that volunteers worked best directly with offenders and would be useful with some probationers and parolees (State of Missouri, 1989: p. 7). The nearer the personnel were to volunteers and their operations, the more confidence they had in volunteers and their abilities and potential in corrections (State of Missouri, 1989: pp. 8-9).

The report concluded that, "Managers are willing to give more time and resources to volunteers. Line staff see value in the use of volunteers to ease

mentors were active retirees with distinguished service and success in the community.

These mentors could play an important role in providing necessary services, in the views of DOC probation and parole officials. Counseling, tutoring, transportation, and documentation were mentioned as being useful functions of volunteers. (Any law enforcement or other professional responsibilities, however, were uniformly seen as unwise and dangerous.)

Overall, the DOC personnel expressed favorable attitudes toward the mentors with whom they had worked. They were impressed with "their energy, excitement, and dedication" and "the mere fact that they would volunteer their time." One respondent said, "[Voluntarism] provides extra hands, feet, and voices. It assists officers in reducing the hours spent on lower risk cases." Another stated, "I feel it's a helping hand for staff, inmates and their families."

Reservations existed, however. Two respondents criticized volunteers for their "inconsistent involvement" or "lack of commitment." One stated, "Most receive an eye-opening experience and become either frustrated or highly motivated for this as a career." Another noted, "Most have withdrawn or regressed in their efforts toward offenders."

Some of this may have been due to reaction of staff. One DOC respondent commented, "Some officers readily use the volunteers; others view them as work and refuse to work with them." This attitude may partially be the responsibility of DOC leadership. According to another DOC respondent, "A staff needs to be allowed work time to work with volunteers. I feel a lot of pressure to support this type of activity but no time being allowed to work extra." The implication was clear that, while response to volunteers were positive overall, more time and effort were needed to integrate them in to the op-

erations of the department and of DOC personnel. As one respondent concluded, "[Volunteers] work well when the volunteer has a clearly defined role or duty to perform." Apparently that had not been achieved in Stillwater at the time of this study.

For their part, the mentors initially knew little about the Oklahoma Department of Corrections but ended with definite opinions. Most were sympathetic. "I feel they want to help resettle their clients," said one, "but have too heavy a load, and lots of them [the clients] don't want help." Another stated, "It appears that the services provided are inadequate to rehabilitate parolees. Staff does not have enough time to prepare parolees for using volunteers who serve as mentors." Echoing a DOC respondent, however, another mentor "concluded that the local DOC professionals are not anxious to get volunteers involved or else don't know how to go about it."

Several mentors saw distinct advantages accruing to themselves and their communities and to the Oklahoma Department of Corrections through their involvement in the mentoring program. One mentor came away with "a feeling of contributing-of making a difference, more familiarity with the system of justice and attempts at rehabilitation" and the belief that DOC received "relief for an overworked and understaffed complement of employees." One recommended that DOC put in more time educating offenders as to the importance of what the mentors offered: "Staff should prepare parolees for seeing mentors and help them develop some expectation that folks are available to help them develop life goals, etc."

Other mentors picked up on the theme of inadequate staff participation. Some blamed the lack of DOC training of volunteers. One said, "My limited experience with the program leads me to believe that there are some basic factors which need to be clarified for those who volunteer." Yet another spelled it

out: "It appears that the parole officers have a heavy workload and little time to spend with their untrained volunteers. The role of the volunteer is unclear. Is he/she to assume the role of a parole officer? What supervision should be provided and by whom? What is the guideline for the amount of contact which the parolee and volunteer have?" According to one mentor, DOC should

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help volunteers to "learn how to develop a trusting relationship with parolees that would lead to their seeking help in setting life goals and finding ways to achieve them." These problems all pointed to inadequate orientation and follow-up training. In fairness to DOC staff, however, the DOC respondents expressed similar concerns, indicating that responsibility for this particular problem rested above the operational level.

When asked what changes they would recommend in the way DOC selects, trains, and/or uses volunteers or the way DOC could increase numbers and involvement of volunteers in their programs, this active and learned group of retirees had well-thought suggestions in light of their experience with the mentoring program. One recommended getting more mentors involved and "work[ing] them into the program gradually. Always start them out with cases that have promise of fulfillment and reward of success." Another proposed "a task force made up of a variety of professionals [to] review the problem and plan what can be done to get a viable program established. How can it be reorganized, what is the role of

volunteers, how should volunteers be selected, trained, and used, etc.?" Another suggested DOC emulation "of other agencies which have had experience with volunteer workers for many years. HOSPICE organizations are a good example of this; the training programs they have and the contact and support they maintain with their volunteers is very productive and successful."

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The overall impression of all the surveys was the same: the mentors felt that the program's intentions were worthy, but, for various reasons, most importantly, a lack of adequate training and understanding, its potential was still yet to be realized. The reasons appeared well encapsulated in the comment of the DOC official that volunteers "work well when the volunteer has a clearly defined role or duty to perform." Criticisms of the program from the mentors and DOC personnel basically centered around a perception that the role or duties of the mentor were not well explained or accepted prior to the program's inception. Offenders with their own concerns and interests and DOC personnel with their multitude of pressures and priorities did not appear to be fertile ground for a program of mentor involvement that neither had heavily "bought into," no matter its potential value.

Common Findings and Recommendations

Review of these three internal evaluations of volunteer programs in probation and parole by correctional departments in Missouri, Washington, and Oklahoma demonstrates common strengths and weaknesses. Strengths include a commitment to the principle of volunteer use, a general acceptance of

volunteers by the line personnel who must work with them, and an initial dedication of volunteer effort. As to common weaknesses, each report cited concerns about volunteer training and quality, available resources, and adequate communication and information systems. These problems appear generalizable across volunteer correctional programs, as demonstrated by the detailed screening and regulatory procedures found in the states with departmental volunteer divisions.

Why was the prerelease program in Washington perceived as more successful, albeit after only two years, than the programs in Missouri or Oklahoma? The answer may give us clues which policymakers should consider before committing too heavily into volunteers in their service delivery planning. The workload and expectations for it in Washington were not as far beyond the capacities of volunteers or the time or ability of staff to train them as in the other states. Escorting inmates to meetings or other outside functions is not as complex or demanding as mentoring (and, even with escorting, concern about adequacy of training was expressed). The former is more logistical; the latter, more interpersonal. The former is more tractable and easily taught; the latter, more intractable and unknown. Thus, beyond the "normal" problems of burn-out, poor management, and other common volunteer dilemmas, policymakers are well advised to address the nature of the tasks themselves. Some functions, such as escorting, tutoring, or monitoring and record-keeping, seem much more amenable to effective volunteer performance. Those such as mentoring will be much more problematic and require much more investment, effort, and luck to effect the "intelligent use of well-trained volunteers" stressed by Dash (1995: 47).

Conclusions

The interest in and use of volunteers

in corrections has broadened in recent years. State corrections departments' internal evaluations offer a means of informing students and practitioners as to the strengths and weaknesses of their programs. The three evaluations discussed herein from Missouri, Washington, and Oklahoma did not flinch from critical examination and independently reached similar conclusions about common areas for improvement. In particular, future policymakers must pay more attention to training, resources, and communication and information for all concerned in their volunteer programs. The "triangulation" effect of these three studies gives us confidence in their generalizability to future volunteer programs as they develop in probation and parole.

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