

PERSPECTIVES

the journal of the American Probation and Parole Association

Volume 29

Number 2

Spring 2005



BURNOUT



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PRESIDENT'S MESSAGE

As the APPA election draws near, and you as members of this association get ready to vote for your new leadership, I wanted to write a message centered around leadership. First, I wanted to say that this message is prepared in November 2004, so I have no idea who will be running for the Executive Committee positions, nor the Regional Representative positions. In addition, this message may have a slightly different slant to it than other articles and/or materials you have read on leadership.

I have heard people say that the only people who can be effective leaders in an association are those individuals that have overseen large organizations or have had supervisory responsibility over many staff; that if you haven't been in those types of positions you will not be an effective leader in an association. Needless to say, I don't accept that premise.

Why? Well, all too often I have seen individuals who have been in management or supervisory positions in an agency struggle with being effective leaders within an association. Because one is in a management or supervisory position within an agency does not guarantee they can be an effective leader in an association. In addition, is it really important how many people you supervise or have responsibility for; or is it more important that you earn the respect and trust of those people so that they accept you as the leader and follow you in moving forward with the agency's mission, vision, goals and objectives? Leaders can come from all levels of an agency.

A person elected to a leadership position in an association needs to exhibit a commitment to the mission and vision of the association; demonstrate honesty, ethics and integrity; show concern for staff/membership well-being; follow through on the goals and objectives set forth for the association; include staff/membership in decision making; and have a passion for the association's work. If that person possesses those attributes, he/she will be the effective leader an association needs to move forward. If that person has an agenda other than the agenda of the association, then the association will suffer.

One of the most effective leaders I have met in my lifetime is a fellow who played on my Special Olympics soccer team for 10 years in Richmond, VA. Ray has the ability to lead his fellow players because he has earned their respect, they trust him, he is full of passion, and they know he is true to the mission and vision of Special Olympics. He is truly a leader for Special Olympics in so many ways. And he has never had any leadership training or read any leadership materials, nor been a leader in a large organization or supervised anyone.....but he is every bit an effective leader as those who teach and coach him.

Recently I attended two events related to my work with NIC, where field staff participated; however, the bulk of the participants were managers from their respective agencies. In talking with the field staff I was told that they felt overwhelmed by the people around them, somewhat intimidated, and felt that their opinions were not going to be of consequence. I told them they were wrong; that they had much to offer and were needed to provide leadership in their own right. They are on the front lines, actually doing the work that the managers directed. Needless to say, that is a message I always tell field staff: You are leaders in more ways than you can imagine. Maybe that is why during my Presidency of APPA I have stressed the importance of including field staff in APPA leadership positions. Field staff is tasked with leading offenders to change behaviors and become law abiding and productive citizens, to lead victims through the maze of the justice system, to be leaders in their communities, to be leaders in their local justice systems, to lead by setting a positive example for many.

The current Executive Committee, Regional Representatives, and Committee Chairs have one of the most varied make-ups that I have seen in my 12 years on the Board. It is both refreshing and stimulating to see this variety in APPA's leadership. Many different views are presented, many new ideas come forth, and many individuals get a chance to grow professionally through their APPA leadership experience. To have such a variety of individuals, from field staff to administrators, from trainers to consultants, from affiliate leaders to affiliate members, sitting on the APPA Board has been personally encouraging to me. For me it shows the growth in our association.



Drew Molloy

Continued on page 10

As you think about electing the next set of leaders for APPA please take the time to consider all the qualifications presented by the nominees. Take the time to read their statements, take the time to find something out about them, take the time to see what type of leader they are back in their agency and/or organization. APPA is undergoing positive change(s), we are coming out from under the cloud of financial setbacks, we are growing ever larger as a leader and voice in the field, and you have the opportunity to elect the future leadership of APPA that will keep APPA moving in a positive direction. So, please take the time to consider who you think will be the most effective leaders for APPA and then vote! And down the road I hope everyone who reads this will consider seeking a leadership role in APPA, no matter your position in your agency or organization.

May you all be safe in your jobs and continue to be leaders in the field.....

Drew Molloy

American Probation and Parole Association



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Corporations with an interest in the field of probation, parole and community corrections are invited to become APPA associate members. Like corporate membership, the goal of associate membership is to engage our corporate friends in association activities and to share information with each other.

ACS Government Systems

Christie Holman
Consultant Manager
1733 Harrodsburg Road
Lexington, KY 40504
Phone: (859) 277-1500
Fax: (859) 277-2300

Email: christie.holman@acs-inc.com
Website: www.acs-inc.com

Appriss, Inc.

Louis Smith
Product Manager
10401 Linn Station Road, Suite 200
Louisville, KY 40223
Phone: (502) 561-8463
Fax: (502) 561-1825
Email: lsmith@appriss.com
Website: www.appriss.com

James Lee Witt Associates

Michael J. Gaines
Vice President
1201 F Street NW, Suite 850
Washington, DC 20004
Phone: (202) 585-0780
Fax: (202) 585-0792

Email: mgaines@wittassociates.com
Website: www.wittassociates.com

Public Communications Services

Susanne Sophos
Marketing Director
11859 Wilshire Blvd., Suite 600
Los Angeles, CA 90025
Phone: (310) 213-1000
Email: susanne.sophos@teampcs.com
Website: www.pcstelcom.com

For more information on associate membership, please contact:

Susan Meeks, APPA
c/o The Council of State Governments
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Instructions to Authors

PERSPECTIVES disseminates information to the American Probation and Parole 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 corrections 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 MS Word or WordPerfect format on an IBM-compatible computer disk, along with a hard copy, to Production Coordinator, *PERSPECTIVES* Magazine, P.O. Box 11910, Lexington, KY, 40578-1910, or can be emailed to smeeks@csg.org in accordance with the following deadlines:

Fall 2005 Issue - May 20, 2005 • Winter 2006 Issue - August 21, 2005 • Spring 2006 Issue - November 11, 2005 • Summer 2006 Issue - February 19, 2006

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. Notes 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: 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.

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Communications should be addressed to:

American Probation and Parole Association
c/o The Council of State Governments
P.O. Box 11910, Lexington, KY 40578-1910
Fax: (859) 244-8001, E-mail: appa@csg.org
Website: www.appa-net.org

Published four times annually by APPA through its secretariat office in Lexington, Kentucky.
ISSN 0821-1507

Reprints and back issues. To order back issues, single copies of articles or reprints of articles in quantities of 100 or more, please call (859) 244-8207.

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EDITOR'S NOTES

Welcome to the spring issue of *Perspectives*. As I write this, Groundhog Day has just passed and we are expecting six more weeks of winter. By the time you read this, spring will be well on its way with warmth and renewal. We hope that the content of this issue will provide you with some resources for your own renewal. There are articles dealing with some longstanding challenges, as well as several new challenges that reflect the evolving nature of our field.

The safety of probation and parole officers has been a hot topic for APPA and the entire field for many years. We have not focused nearly as much on the other side of that issue, that of the health of our staff. Probation and parole officers, like other human services professionals, run the risk of experiencing burnout. In their article, White and his colleagues explore this issue from a new angle, the resiliency of staff in the face of job-related stress. The officers they studied took an activist approach to stress, finding effective and healthy ways to deal with it. The authors also note that much of burnout and job stress flows from the organization and its policies and practices, and not the people we supervise.

Another issue with a long history in our field is that of the optimal caseload size. More ink and passionate conversation has been devoted to this issue, but we are no closer to resolution than ever. In their article, Papparozi and Hinzman provide us with an important new wrinkle. They suggest that we must tie the question of caseload size to the desired outcomes of our work. It is meaningless and futile to try to engage policy-makers and stakeholders in a dialogue about caseload size when we have not linked that question to results that matter. If we have no results that matter, caseload size is irrelevant. If we can identify results that matter to us and our constituents, then the question of caseload size and its impact on our ability to deliver the desired results suddenly becomes important.

The question of caseload size and results also involves issues about the proper supervision strategies and programs. What programs will deliver the results we want? This question is at the heart of another perennial topic of discussion in our field, that of what works. I am certain that there are a few people in community corrections who have not heard the term "what works," and I am equally sure that few really understand what that phrase entails. In his article on systematic reviews, Petrosino provides an excellent overview of how the research that makes up the 'what works' literature is conducted. Understanding the process provides us with a better understanding of what it means and how we can use it in our work.

While we debate some of these perennial issues, our world is continuing to evolve and present us with still new challenges. The world we live in is shrinking and its citizens are becoming ever more mobile. This includes people who become involved with probation and parole. In his article on consular notification, Lawrence informs us about a legal obligation that we are all required to observe and enforce. Foreign nationals who are arrested or detained by probation or parole officers are entitled to have their consular authorities notified. Fortunately, this is not a complex process and can be accomplished quickly. As the article states: This is an obligation!

The mobility of offenders within the United States has been the subject of a great deal of work over the past few years. The Interstate Compact for Adult Offenders was revised and is now being implemented. In his article, Hageman describes the implementation of the new information system for the adult compact. For many years, this concept was just a gleam in the eyes of compact staff. The work of the compact is so well suited to automation, and now that gleam is becoming a reality. The new system will be paperless! As with so many applications of technology, this new system will drive change in every probation and parole office. While most officers are computer proficient, not all offices and agencies have or provide the equipment and Internet access that is required to use the system. This will change as agencies see both the requirements and the benefits to be gained.

The growth and evolution of technology in community corrections is also illustrated in the Technology Update. The Community Corrections E-Learning Collaborative is an excellent example of leaders in our field developing new and exciting ways to provide quality learning to officers and staff wherever they may be!

The importance of providing current and useful information to you, the members of this association, cannot be overstated. We hope that you find that *Perspectives* delivers that information to you. As always, we welcome your feedback on the j



William Burrell

Editorial Committee

William Burrell, Chair
Associate Professor
Temple University
Gladfelter Hall, 5th. Floor
1115 W. Berks Street
Philadelphia, PA 19122-6089
Phone: (215)204-3051

Arthur J. Lurigio
Dept. of Criminal Justice
Loyola University of Chicago
820 N. Michigan Ave.
Chicago, IL 60611
(312) 915-7564

Edward E. Rhine, Ph.D.
Special Projects Administrator
Division of Parole and Community Services
Ohio Dept. of Rehabilitation and Correction
1050 Freeway Drive N
Columbus, OH 43229
(614) 995-3599

Faye S. Taxman, Ph.D.
Director
Bureau of Government Research
Professor
Dept. of Criminology & Criminal Justice
Room 2220, LeFrak Hall
University of Maryland
College Park, MD 20742-8235
(301) 405-4781

A handwritten signature in cursive script that reads "Bill Burrell".

NEWS FROM THE FIELD

National Adult Compact Information System

The need for a paperless and efficient Interstate Offender Management Tracking System is of paramount importance to the states. The inability to quickly and accurately track offender movement is a liability issue to both public safety and citizens across the country.

New technologies and standardization of business rules must be leveraged in order to make offender management more efficient. Legacy systems, many involving paper and pen, reside across the United States at the regional, state and local levels. The goal of the Interstate Compact Commission is to deploy a paperless system capable of the real time tracking of an estimated 250,000 offenders as they move across state lines. Standardization, ease of use, flexibility and cost effectiveness are just a few of the identified goals related to the successful deployment of this application.

In July 2004 the Commission finalized negotiations with Softscape, Inc. to build, implement and support a National Adult Compact Information System (NACIS) that meets the requirements of member states. The development process began with the formation of a user group that continues to work with the vendor to identify the requirements of the compact.

After months of work NACIS is taking shape and it is time to start thinking about training, implementation and user support. While the technology committee is confident that users will be pleased with the end solution each member state should begin the process of determining how the implementation of NACIS will impact the transfer process in their state. Is the system secure? Who will be responsible for maintaining user information in your state? Who will use NACIS and how will users access the system? What equipment will states need to use NACIS? How will users be trained? Who will provide support to the users? Is it possible to integrate NACIS with your state's offender management system? What is the time table for training and implementation?

Before providing you with information to assist in answering the above questions it's important to understand some of the fundamental principles: (1) NACIS is web

application; (2) there is a workflow component that facilitates the process; (3) the process begins with the parole/probation officer and (4) eliminates the flow of paper. Every user will need to access the Internet to start the transfer process.

Once fully implemented the transfer process will begin with the parole/probation officer initiating the transfer by accessing NACIS on the Internet. Once the officer in the sending state finishes the application process a supervisor is notified to review and approve the transfer information. Once approved by the supervisor the state compact office will receive a notice and they will review and either approve or reject the transfer. If approved, the receiving state compact office receives a notice to review and either approve or reject the transfer. If approved a notice will go to a supervisor in the receiving state and the supervisor will then assign it to an officer. Once the investigation is complete, whether approved or not the process is reversed and notices will flow back to the officer who initiated the transfer in the sending state.

Obviously, there is much more to the workflow than I described, however I hope it gives you a basic look at the process. While the implementation of an automated workflow system offers a tremendous opportunity for increasing efficiency it requires a significant effort to establish.

Is the System Secure?

During the development stages of NACIS the technology committee consulted with agencies such as CIJUS, INLETS and NCIC who all recommended a minimum of two layers or tiers of security. The first level of security for NACIS uses a role-based security model that provides or denies an individual(s) access to activities, objects, and data. The second layer or tier that the committee is working on involves the creation of a virtual private network (VPN.)

A virtual private network (VPN) is a way to use a public telecommunication infrastructure, such as the Internet, to provide remote offices or individual users with secure access to their organization's network. A virtual private

network can be contrasted with an expensive system of owned or leased lines that can only be used by one organization. The goal of a VPN is to provide the organization with the same capabilities, but at a much lower cost.

Who will be responsible for maintaining user information in each state?

Each state compact office will be required to identify a system administrator for their state. The state system administrator will be trained by the National Commission and will be responsible for setting up and maintaining user information for each state. In other words, the states system administrator will collect and maintain user names, permission levels, email address, phone number, supervisor, etc. for each user in their state. If you don't already have the information available to you, the technology committee recommends that you start thinking about identifying your users and begin the process of obtaining and maintaining user information.

Who will use NACIS and how will they access the system?

Member states will need to make decisions about who will use NACIS in their state. The system is designed to begin with the probation/parole officer and will move to the supervisor and the state compact office sequentially. Therefore, at least in theory, every parole and probation officer and their supervisor will be a user along with the state compact office. If that is the case then every one of the users will require access to a computer, printer, document scanner (for attachments) and the Internet using either Internet Explorer 6.0 or Netscape 7.0. In small offices it may be more feasible to have only one officer responsible for compact transfers. In any event, I am sure there will be a number of variations once states start exploring the possibilities.

What equipment will be needed to use NACIS?

At the very least each user will need a Pentium class personal computer, a printer and a scanner or scanner/printer. For a browser users can either use Internet Explorer 6.0 or above

BY HARRY HAGEMAN

or Netscape 7.0. For access to the Internet the vendor recommends either a T1 line or a broad band connection such as a cable modem or DSL. A 56k dial up modem will work but may not deliver satisfactory performance.

How will users be trained?

Training plans are being finalized and will be announced soon. The initial plan is to "train the trainers." At least one trainer from each state will be trained at the Commission's expense. In states where two different state agencies are responsible for parole and probation the Commission will train one person from parole and one from probation. The training is likely to be for two days and will cover training for the user and system administration. If states wish to send additional staff at their own expense there are likely to be additional training sessions. It is the Commission's hope that the trainers who attend the training will return home and train other users in their state.

Who will provide support to the users?

By contract Softscape, Inc. will provide the support required to host and maintain the system hardware and software which is commonly referred to as level two and three

support. Level one support is responsible for handling the initial user call and it's the Commissions hope that state compact offices will assist the compact by providing the first level of support to the users in their states. If states are unable to screen the initial support call then the Commission will hire additional staff for that purpose or outsource the work to a private sector vendor.

Is it possible to integrate NACIS with the state's offender management system?

Agencies planning to exchange case related information with NACIS will receive the technical specifications needed to develop an integration application well before implementation. Once the technical documents are published agencies with a technical staff can develop the integration application on their own or contract with Softscape, Inc. at a contract price of \$100 per hour. If an agency has not integrated its offender management system prior to the NACIS implementation, users may be required to duplicate a limited amount of entries; however, it does not mean users will be unable to process transfers.

What is the timetable for implementation?

The National Office expects to begin

training in the spring of 2005 and the system will be in production no later than July 1, 2005. While delays are always a possibility with projects of this scope the technology committee is satisfied with the progress to date.

Conclusion

Compact members directly involved in the development of this system seem excited about the possibilities for the future. Automation is seldom easy and doesn't resolve all problems; however the implementation of NACIS is certain to make the transfer process easier, faster and improve reliability. Fewer offenders will drop through the cracks thus improving accountability and public safety.

For a smooth transition you should begin planning now. There is much to think about and do. Should you have any questions don't hesitate to contact any member of the technology committee. Their contact information and more information about NACIS can be found on the commission's web site www.adultcompact.org. □

Harry Hageman is the Compact Commissioner in Ohio.



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President
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NIC UPDATE

New Publications Now Available

The National Institute of Corrections (NIC) has recently redesigned its website. Users of the site will notice the changes immediately. There is now improved access to our online library and information about the many services we offer. The work on the website design is ongoing and users may see additional changes in the future. One of the new changes is the "Browse the Library" section at <http://www.nicic.org/BrowseTheLibrary>.

The Institute is also pleased to announce a number of new publications which can be found on the new web site. Those publications are as follows:

***Parole Violations Revisited: A Handbook on Strengthening Parole Practices for Public Safety and Successful Transition to the Community*, NIC Accession Number 019833.**

This publication, prepared by Peggy Burke of the Center for Effective Public Policy, is a follow-up to the 2001 NIC publication, *Responding to Probation and Parole Violations: A Handbook to Guide Local Policy Development*. The new publication sets forth a series of steps that jurisdictions can take to assess their current policy and practice, identify targets of change, and mobilize for change. It provides tools to guide policymakers through the process. To see details and download the document, go to the NIC web site at: www.nicic.org/Library/019833.

Tools of the Trade: A Guide to Incorporating Science into Practice.

This publication was written by Dr. Faye S. Taxman, et al., in 2004. It serves as a manual for developing staff skills as a critical component of organizational change and adoption of evidenced-based practice in community-based supervision. To download the document, you can go to: www.nicic.org/pubs/2004/020095.pdf

***Topics in Community Corrections Assessment Issues for Managers*, Annual Issue 2004.**

This document, part of NIC's continuing Topics in Community Corrections series, contains articles written by practitioners and

researchers who are currently involved in improving information related to offender risk. These individuals are already applying assessment instruments in the field, using assessment information in offender case planning, and measuring results. NIC is committed to the implementation of evidenced based principles and practices in the supervision of offenders and assessment of risk is a key principle.

It should be noted that both the Tools of the Trade publication and Topics in

Community Corrections can be accessed by going to NIC's website cover page at: www.nicic.org. When you go to the site, find the blank entitled: "Search the Library," type in "Tools of the Trade" or "Assessment Issues for Managers."

Please feel free to contact any NIC staff member if you have any questions. □

Andrew Molloy is a Correctional Program Specialist at the National Institute of Corrections in Washington, DC.

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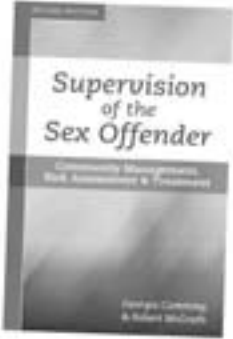
by Georgia Cumming & Robert McGrath

The first edition of *Supervision of the Sex Offender* is considered by many probation and parole professionals an essential reference for managing this challenging population. Expanded and updated, the second edition provides best-practice advice and strategies on critical issues facing anyone responsible for supervising sex offenders in the community.

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BY ANDREW MOLLOY

SPOTLIGHT ON SAFETY

Your Two Most Important Pieces of Safety Equipment

In the last edition of *Perspectives* we highlighted the recent murders of Canadian Parole Officer Louise Pargeter and Kansas Mental Health worker Teri Zenner. As can be imagined, these and other agencies are trying to find a tool, or tools, that will enhance the safety of their officers and staff. Like many in community corrections, they are looking for that external device that will assure that their officers and staff always get to go home to their loved ones. In one case it has been suggested that staff be equipped with cellular phones that have GPS tracking capabilities. While it is good to have communications equipment and other forms of safety equipment, the reality is that after an attack is initiated, a cell phone, radio, or intermediate weapon does little good. As that assailant is striking you, choking you or trying to stab you, it is

unlikely you are going to have time to dial your cell phone or get on the radio and call for help. Once physical contact is made, very few officers will have the opportunity to use other intermediate weapons such as OC spray or a baton. You are going to need to use your two primary safety tools, your *mental awareness* and *physical skills*, to stop the attack!

Most community corrections agencies advise their officers to disengage if the officer perceives danger or is uncomfortable with the contact, either in the office or the field. That's good advice!

But many contacts that have resulted in an officer's death initially seemed to be routine and then erupted into conflict.

As part of our mental awareness we must realize that our tactics are broken down into two distinct types -- preventive tactics and

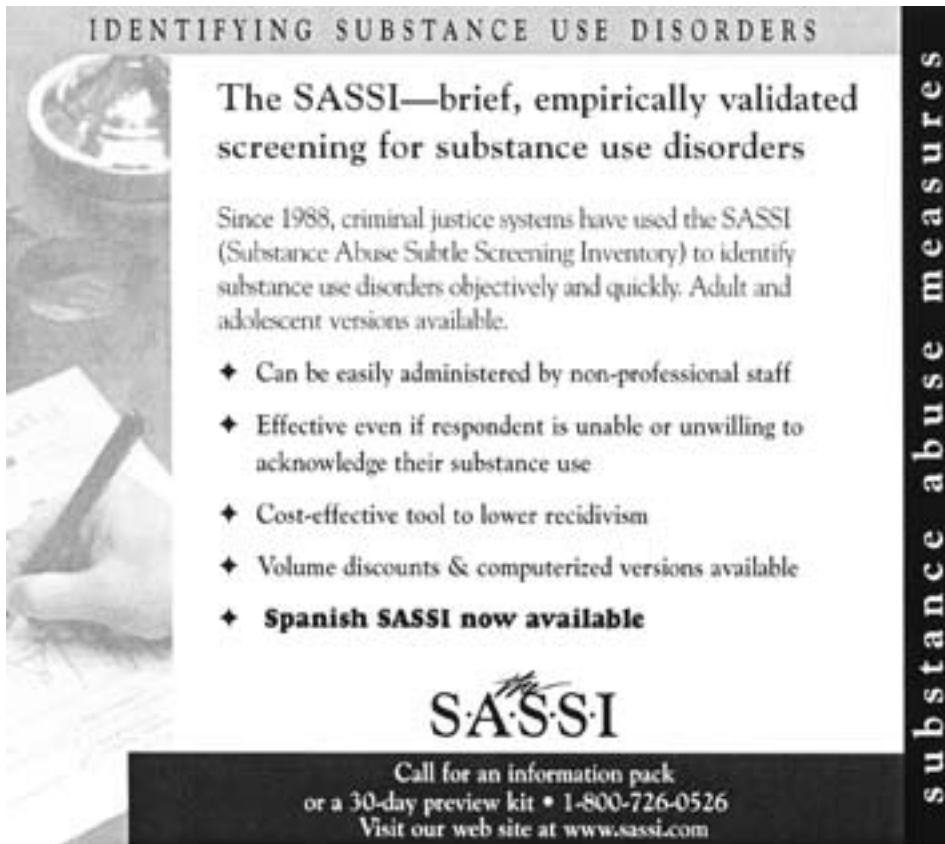
survival tactics. They are two very separate skills.

Our preventive tactics involve how we approach a subject and/or their residence; how we stand at the door; how we position ourselves in our office; whether we have a partner with us; whether we have our safety equipment such as the cell phone, radio, OC spray, baton, taser, or even firearm. But none of these techniques or pieces of equipment will always allow us to prevent an attack. If they did we would not have had an officer stabbed to death while he *and his partner* made a home contact; we would not have had an officer fatally shot by an offender even though he had *two* other armed officers with him when he approached the offender; we would not have had a juvenile officer beaten to death when she went to make an *announced* contact at the offender's family home.

So what do we do to develop our survival tactics? First we understand the dynamics of a typical confrontation. From our research of fatal attacks against parole and probation officers we find that the attacks usually fit within the "3 to 5 Rule," that is, the attack will be initiated with the assailant within three to five feet of the officer, the attack will be initiated and the officer killed within three to five seconds, and the officer will receive three to five hits, stabs or shots before the attack ends. So let's think about it. Under those conditions will that cell phone, radio, OC spray or other tool do you any good? Not now, they are preventative tactics and intermediate tools. This is life or death! You need survival tactics.

You are now in a situation that you have probably never experienced before. Your mind is not prepared for this because you came to this situation with a "thinking mind" not a "survival mind," and you are now in the situation which is the hardest for most people to deal with, a life or death situation that is up close and personal.

So what do you do? You train for the realities of conflict. You train to make the shift from a preventive mind set to a survival mind set. You train to be able to stop the attack no matter what you have to do, and you train to



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substance abuse measures

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BY ROBERT L. THORNTON

do it with the two pieces of safety equipment you will most likely use, no matter what other pieces of safety equipment you brought to the situation -- **YOUR HANDS**.

This is especially true for female officers. Our research shows that male officers are most likely to be shot, while female officers are most likely to be stabbed, strangled and/or beaten to death. Now you may be having some personal doubts about your ability to stop a lethal attack with just your hands -- **YOU CAN DO IT!** But you must first train your mind, then your body. No, you don't need long hours in the gym or super strength. Can you deliver a blow with eight pounds of pressure? That's all it takes to stop an attack if you deliver it to the right spot.

We do not have enough space in this article to review the skills needed to win the fight, although in reality the skills needed are relatively few. But you can get such training through the Professional Development Safety Training programs offered by APPA. No matter where you go for the training I encourage you to get self-defense training that prepares both the mind and the body, and provides skills that are easily learned and retained without repeated training. The skills must be easily retained as, under stress in a crisis, you will not have time to think about what you have been taught; the skills must be instinctive. Also, make sure the skills taught cover the entire use of force continuum, from officer presence to lethal force. Yes, you can deliver lethal force with your hands, and that's probably what you will have to do to win the fight! Are you prepared? ☐

Robert L. Thornton is the Chair of the APPA Health and Safety Committee and the Director of the Community Corrections Institute in Eatonville, WA.



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CALL FOR PRESENTERS



Call for Presenters American Probation and Parole Association 2006 Winter Training Institute Austin, Texas • January 8-11, 2006

The American Probation and Parole Association is pleased to issue a call for presenters for the 2006 Winter Training Institute scheduled to be held in Austin, Texas. Institute participants include community supervision and corrections personnel, the judiciary, treatment providers, criminal justice researchers and others who are interested in the field of community justice. Presentations should relate to the following topics:

- Local Track Offender Program
- Staff Health & Safety
- International Issues
- Staff Supervision
- Juvenile Justice
- Victims and Community Justice
- Specialized Supervision Units
- Collaborative Efforts
- Staff Training and Career Development
- Technological Innovations
- Intensive Workshops (4 four-hour sessions and 2 eight-hour sessions)
- Federal Initiatives and Corporate Sponsors
- Women in Community Corrections

The above-suggested topics are not all-inclusive. Other topics related to the field of community supervision and corrections are acceptable.

Submission Guidelines

Persons interested in submitting a proposal for consideration should provide the following information needed to comply with APPA training accreditation requirements and to apply for permission to grant continuing education units to a variety of professions (i.e., Social Workers, Substance Abuse Counselors, Continuing Legal Education, etc).

Workshop proposals should provide the following information:

1. Length of Workshop: Indicate session length.
 - Workshop, 90 minutes (workshops held on Monday, January 9 and Tuesday, January 10)
2. Workshop Title: A snappy title that catches the attention of participants and identifies the primary focus of the workshop.
3. Workshop Description: A clear, concise, accurate description of the workshop as it will appear in the program (average length is 30 words; submissions on disk in Microsoft Word are preferable).
4. Training/Learning Objectives: Describe the measurable skills, knowledge, and/or new capacity the participant will gain as a result of workshop (i.e., at the end of the training, participants will be able to list five of 10 causes of suicide.) List a minimum of three training/learning objectives.
5. Faculty Information: Provide name, title, agency, address, phone, and email for all proposed faculty. Panel presentation should consist of no more than two or three persons; however, a fourth can be added as a moderator.
6. Resume or Vitae: Include brief resume or vitae of each faculty member.
7. Primary Contact: Submit name and complete contact information for person submitting workshop proposal.

Presentation summaries may be mailed, faxed or emailed by May 2, 2005:

Robert Sudlow
Probation Director
Ulster County Probation Department
733 Broadway
Kingston, NY 12401-3499
Phone: (845) 340-3216
Fax: (845) 340-3200
Email: rsud@co.ulster.ny.us

Workshop proposals should be received no later than May 2, 2005. Annual Institute program committee members will contact the person who nominated the workshops(s) to indicate their selection for the Institute. Please note that it is APPA's policy that, regrettably, expenses and fees associated with participation cannot be reimbursed by APPA.

TECHNOLOGY UPDATE

E-Learning for Community Corrections

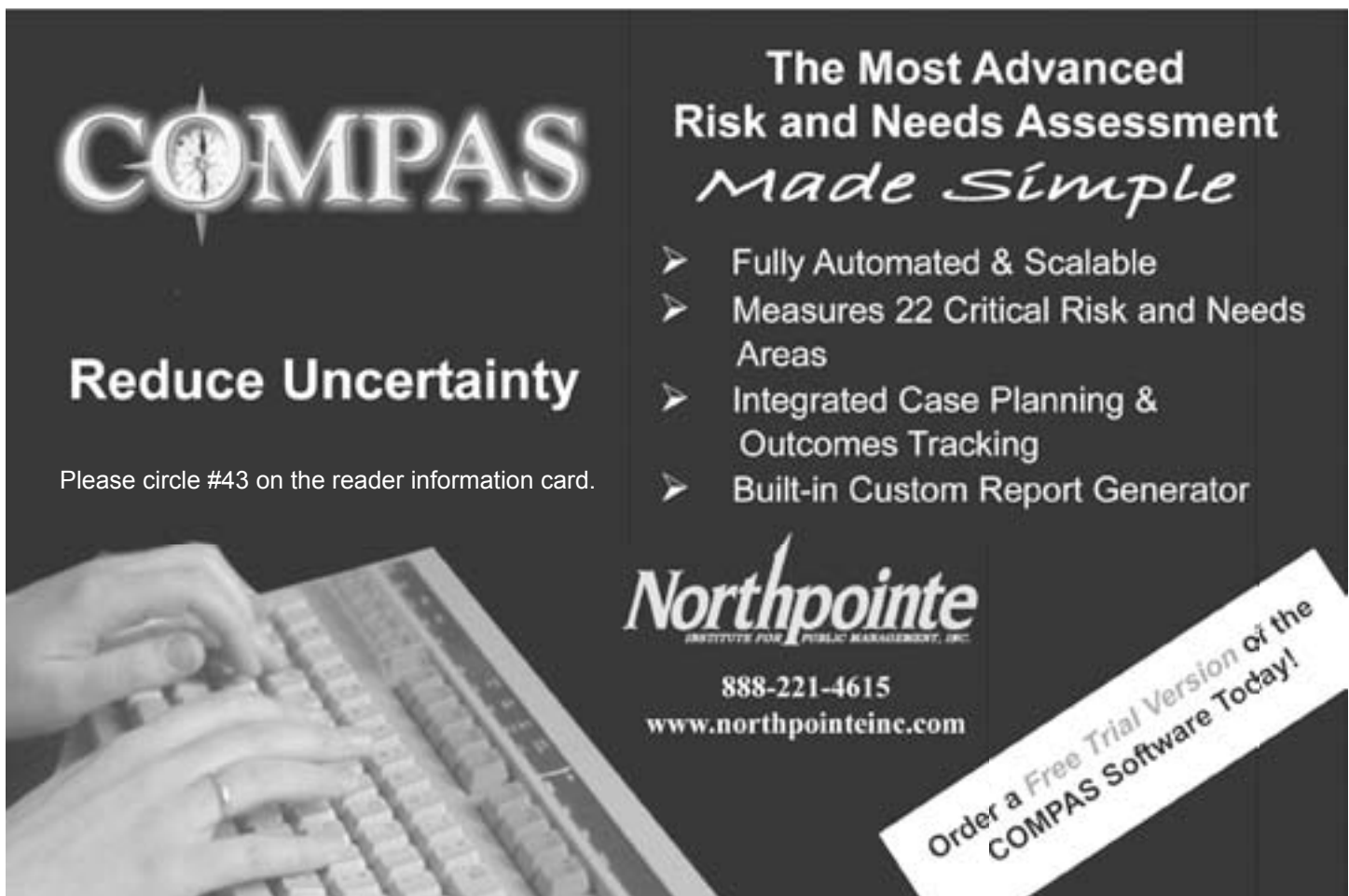
The problem can be simply stated as follows: the demand for high quality training in times of budgetary constraint poses a great challenge to community corrections agencies. Indeed, a well trained staff, an agency's greatest asset even in the best of times, is even more critical when other tools and resources may not be available. One way to help manage this dilemma can be found in the technology world through electronic learning techniques. E-Learning is well established and has been used with much success in the private sector, higher education and the military. As with many other technological developments however, the field of criminal justice has been slow to take advantage of the possibilities offered. Recognizing that face-to-face classroom instruction is a valuable and scarce resource and that the technology exists to provide high quality, cost-effective online training to community corrections, several national

organizations including APPA began a series of meetings to discuss the issue. In late 2003, the National Law Enforcement and Corrections Technology Center – Rocky Mountain decided to fund an effort to develop and test an online learning collaborative. The project, called the Community Corrections E-Learning Collaborative (CCELC), is a Web-based professional development service for probation and parole officers which has created a new, flexible model of training courses that are of a high quality, reflect the needs of the field, and are adaptable to local and state standards. It responds to the need for higher standards in instruction, facilitation and officers' learning. CCELC's goals are to help officers improve their professional skills, reduce the direct and indirect costs associated with conventional face to face training, while offering greater flexibility to access training. CCELC made courses available to officers anytime, anyplace

and anywhere. As part of the demonstration project the courses were offered at no cost and were facilitated by volunteer expert trainers/subject matter experts.

One of the primary objectives of CCELC was to illustrate how agencies could collaborate and share resources that could be adapted to an e-learning platform and then made available to community corrections agencies nationwide. In this way the overall costs associated with implementing an e-learning collaborative could be kept relatively low and the eventual training products become affordable for all. The instructional designers/subject matter experts reviewed existing courses for the quality of lesson plans, PowerPoint presentations, existing video, activities, assignments, graphics, Flash programs, written text, available articles, manuals, other electronically available resources, and testing. Courses were written by subject matter experts from jurisdictions

BY JOE RUSSO



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across the country as well as The Education Coalition (TEC) which served as the technical consultant on the project. Materials and resources were also provided by a number of agencies. TEC provided the staffing for CCELC, instructional design, course editing, identified other resources such as video, designed the courses for the learning management system, posted the courses, maintained the system, provided the administration for the project and the technical support for facilitators and learners.

A total of seven courses were developed as part of the CCELC project. As facilitated online learning was completely new to the vast majority of participants the first two courses were developed specifically to provide an orientation to the model to both the facilitators and the students. The facilitator course focused on the basics of online facilitation, how to determine multiple intelligences and learning styles of instructors and students, fostering collaborative learning, facilitating online discussions, using the learning management system, working in a mediated environment and other information pertinent to online instruction

The student orientation focused on ensuring that students were familiar with the technology involved, the learning environment, the concept of facilitated learning, the syllabus and other requirements of the course.

The remaining five courses developed addressed some of the most important areas facing community corrections today: "Motivational Interviewing", "Individual and Group Cognitive-Behavioral Approaches," "Family Dynamics and Domestic Violence," "Introduction to the Supervision of Sex Offenders" and "Officer Safety in the Community."

Each course was two weeks in duration which roughly equals the content delivered in a two-day face-to-face course. The courses are asynchronous in structure in that students could participate at any time of day or night and were not required to all be online at one time for chatting, lecturing, or for audio conferences. Asynchronous instruction allows students to learn during times that best suit their work duties and personal schedule. Courses were available to students online through a secure web learning management system twenty-four hours a day, seven days a week. Each class section could accommodate up to 20 students. Students and facilitators spent 60 to 90 minutes a day on the course during the two-week period. Students and facilitators could access the course from any computer that had an internet connection.

This meant they could work at home, at the office, or while they were traveling. A 56K modem (telephone dial-up) was supported by the technology used for the courses.

The CCELC project concluded in the fall of 2004 and a final evaluation report was submitted. I am pleased to report that the CCELC project was very successful by many measures and the high-level results and key findings will be shared here.

The first interesting finding was the incredibly high level of interest that was expressed by the field when the pilot was announced. Sixty-four federal, state and local probation and parole agencies across twenty-two states, the District of Columbia and Canada participated in the CCELC project. A total of 33 facilitators and six independent subject matter experts provided instruction. Overall, 431 students received instruction during the pilot project.

A second finding of note was the level of commitment demonstrated by those who became involved in the CCELC project as evidenced by the extremely low dropout rate. Less than 10 percent of the students who began a course failed to complete the course. Of those not completing, the primary reasons given by students were unanticipated changes in workload and the failure of supervisors to recognize and appreciate that the student was actually in training and not just sitting at their computer. For comparison purposes, the average dropout rate at online universities is approximately 40 percent.

The participants were surveyed at the end of the project to determine their satisfaction with online learning and a total of 175 students responded. They were asked to rank elements of the courses they took based on a rating scale where one was low and four was high.

In general, the students were very positive about their experience with the CCELC project as reflected by the quantitative statistics in Table 1. Qualitative surveys revealed that an overwhelming majority of students enjoyed the online learning experience, benefited from it and would take another online course. Some students were initially apprehensive about online learning but most adapted quickly with coaching. Based on Table 1 it is clear that students felt that the course content was of high quality and was delivered in an effective way. In contrast to face to face instruction, flexibility and convenience were often cited as positive attributes of online instruction. Students commented on their ability to access training anywhere at anytime of day, working at their own pace without having to travel or leave their homes. A number of students commented that the "ebb and flow" nature of their jobs allowed time for training during the down times. Others point to the ability to receive "just in time" training as opposed to waiting for the next scheduled class at the training academy and the innovation of being able to communicate with fellow officers across the country and learn how they are dealing with a particular problem. The potential cost benefits

Table 1 - Rating of Course Components by Respondents

Components	Median Rating
Quality of the course content	4.000
Instructional methods	3.000
Relevance of Assignments	3.000
How well you learned the content	3.000
How well the course met your goals	3.000
Would take another online class	3.000
Facilitator's content knowledge and ability	3.000
Your ability to learn online	3.000
Accessibility of the facilitator	3.000
The size of the class	3.000
Length of the course	3.000
Your comfort level with online at the conclusion of class	3.000
Your level of interaction with the facilitator	2.000
Your level of interaction with other learners	2.000

of online learning can't be underestimated. The CCELC model proved somewhat difficult to measure cost-effectiveness due to a variety of factors, however, many students, particularly those in large rural states, identified the benefits of increased productivity and reduced travel time, hotel and per diem costs.

Many students also commented on the value of facilitated instruction. Having a trained expert guiding the class as well as experts to call on made a tremendously positive difference in the online learning experience.

The two lowest ranked components in the chart above relate to the level of interaction with the facilitator and other students. Quantitatively, the vast majority of respondents indicated that they would take another online course and a relatively small number of students expressed the preference for face-to-face instruction over online learning. So, why the issue with the level of interaction? A review of the qualitative statements received revealed it might be a matter of expectation. With no other reference point other than face-to-face instruction, students may not have had enough time to gain a level of comfort with the different forms of interaction that come with online instruction. Another issue was time

management. Many students expressed some frustration with not being able to participate fully in the interactions with the facilitator and other students because they had difficulty managing their time effectively. The other side of that coin was that the actively participating students felt a bit "cheated" that some of their colleagues were not as active. It seems that these issues are a matter of experience. As students gain greater exposure to and develop a better understanding of the model and the methods of interaction they will learn to effectively interact and take full advantage of the benefits of online instruction. Students will also develop better time management skills which will allow them to set aside one hour per day for two weeks of training which has turned out to be much different than blocking out two full days and being unavailable for anything else.

Students and facilitators both expressed overwhelming support for the orientation courses indicating that they were necessary for a seamless transition into the CCELC project. Orientation proved essential because almost all participants had no prior experience with facilitated online learning and many students were unfamiliar with the technology involved.

The CCELC pilot project has proven

the concept of a new and interactive model of training to work with probation and parole officers. The components of the model include extensive and ongoing professional development for online facilitators, orientation to online learning and facilitation for learners, facilitated courses that are strongly interactive with collaborative group activities, discussions, assignments, and videos of best practices been successfully completed.

Now that the CCELC pilot has concluded successfully, the next steps are to transition the initiative to a non-profit organization willing and capable of making an investment to grow the project to its full potential as a flexible training program which can be accessed by agencies across the nation at a reasonable cost.

For further information on the APPA Technology Committee or the CCELC pilot and future activities please feel free to contact Joe Russo at 800-416-8086 or jrusso@du.edu. □

Joe Russo is Corrections Program Manager for the National Law Enforcement and Corrections Technology Center in Denver, Colorado and is a chair of the APPA Technology Committee.

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RESEARCH UPDATE

Research on Reentry

Probation and Parole in the United States, 2003

Lauren E. Glaze and Seri Palla.

Bureau of Justice Statistics. 2004. Washington, D.C. www.ojp.usdoj.gov/bjs/pub/pdf/ppus03.pdf

The pressure on parole agencies to accommodate rising parole populations seems relentless. Recent data from the Bureau of Justice Statistics indicate that parole populations are at an all-time high of 774,588 persons. Nearly half a million inmates were paroled from prison in 2003, and this number excludes nearly 200,000 inmates released without parole supervision. In the last decade, the parole populations have steadily increased nationwide, with 2002 and 2003 having the largest growth rates. Table 1 reports parole populations for U.S. Jurisdictions.

Prisoner Reentry:

Public Safety and Reintegration Challenges

Joan Petersilia

The Prison Journal, 2001, 81:360-375

This article provides an overview of reentry issues that are expanded fully in her book, *When Prisoners Come Home: Parole and Prisoner Reentry*. Petersilia address the growing pressure on parole programs based on larger prison populations, fewer prison rehabilitation programs, and fewer transitional services, such as halfway houses for upon reentry. The author claims that because many states have either abolished parole and intermediate sentencing, or seriously limited parole opportunities, current policies have had the inevitable effect of releasing greater numbers of ex-convicts into society with no supervision (about 1 in 5 in 1998), and thus parole boards and parole officers have lost much of their power to assist offenders with programs such as drug treatment, job training, and family stabilization. Petersilia furthers shows that programs to assist reentry have been cut or are lacking throughout the past decade: only 13 percent receive drug treatment when the Office of National Drug Control Policy reported that 70-85 percent are in need of treatment, vocational job training has decreased from 32 percent to 27 percent, and participation in educational programs is down from 42 percent to 34 percent. Petersilia reflects that this has resulted in the breakdown of social cohesion in communities that absorb most returning ex-convicts, fewer employment opportunities, family destabilization, alienation and thus greater recidivism.

Prisoner Reentry: What Works, What Does Not, and What is Promising

Richard P. Seiter and Karen R. Kadela

Crime and Delinquency, 2003, 49:360-388

Seiter and Kadela provide an in depth overview and detailed background of the changing history of prisoner reentry, subsequently examining current evaluations of reentry programs in order to determine

Table 1. Adults on parole, 12/31/2003

Jurisdiction	Entries	Exits	Parole population	Rate per 100,000 adult residents
U.S. total	492,727	470,538	774,588	357
Federal	33,590	31,088	86,459	40
State	459,137	439,450	688,129	317
Alabama	4,098	2,457	6,950	206
Alaska	614	587	927	203
Arizona	8,895	8,115	5,367	129
Arkansas	7,379	5,813	13,694	672
California	148,915	152,305	110,338	424
Colorado	5,298	4,954	6,559	193
Connecticut	3,260	2,847	2,599	99
Delaware	217	2,239	529	85
D.C.	3,136	3,369	5,064	1,129
Florida	4,409	4,680	4,952	37
Georgia	11,738	10,391	22,135	344
Hawaii	906	1,191	2,240	231
Idaho	1,486	1,118	2,329	236
Illinois	32,476	32,926	35,008	374
Indiana	7,304	6,162	7,019	152
Iowa	2,787	2,475	3,099	140
Kansas	4,146	3,991	4,145	207
Kentucky	4,719	3,115	7,572	243
Louisiana	13,468	11,452	25,065	766
Maine	0	0	32	3
Maryland	8,059	7,588	13,742	334
Massachusetts	6,305	6,552	3,704	370
Michigan	12,579	9,994	20,233	271
Minnesota	4,121	4,102	3,596	96
Mississippi	1,103	963	1,816	87
Missouri	10,407	8,720	15,220	357
Montana	601	631	815	119
Nebraska	839	763	650	51
Nevada	2,956	2,801	4,126	243
New Hampshire	719	482	1,200	124
New Jersey	10,322	9,650	13,248	203
New Mexico	1,977	1,532	2,407	177
New York	25,049	25,186	55,853	386
North Carolina	3,214	3,342	2,677	42
North Dakota	585	507	226	48
Ohio	11,670	11,096	18,427	216
Oklahoma	1,995	1,521	4,047	155
Oregon	8,059	7,380	19,769	733
Pennsylvania	30,870	26,338	102,244	1,084
Rhode Island	456	448	392	48
South Carolina	1,025	1,306	3,210	103
South Dakota	1,451	1,147	1,944	346
Tennessee	3,130	3,314	7,967	180
Texas	32,847	33,644	102,271	639
Utah	2,300	2,353	3,299	205
Vermont	400	400	797	170
Virginia	2,779	2,475	4,834	86
Washington	45	35	105	2
West Virginia	826	682	1,143	81
Wisconsin	6,877	5,999	11,966	293
Wyoming	319	311	578	156

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which are effective at addressing the issues that arise from offender reentry. They first chart the transition from early criminal justice models based on rehabilitation to the model that began to emerge since the 1980s — stressing surveillance, punishment, deterrence and incapacitation — and then discuss what effects this has had on offender reentry and the community. Seiter and Kadela evaluate the effectiveness of reentry programs by analyzing 32 program evaluations using the Maryland Scale of Scientific Methods (MSSM). In this model, evaluations are rated according to their scientific rigor, and then programs are classified by what works, what does not work, what is promising, and what is unknown. They found that vocational training and work release programs reduce recidivism, as do drug treatment programs, halfway houses, and prison prerelease programs. Education programs were found to be promising. Recidivism reductions were found only for offenders with the lowest levels of academic achievement who participated in more than 200 hours of educational programming. Findings for sex offender and violent offender programs were mixed, and the authors relegate these programs to the unknown effectiveness category.

Releasing Sex Offenders into the Community Through “Circles of Support” – A Means of Reintegrating the “Worst of the Worst”

Carla Cesaroni

Journal of Offender Rehabilitation, 2001, 34: 85-98

Based on the principle of restorative justice, this study focuses on the efforts of the Mennonite Central Committee in Ontario to create a program to reintegrate sex offenders back into the community while still holding the ex-offender accountable. The Community Reintegration Project forms community support circles with the goal of “...reducing the risk of re-offence by individuals convicted of sexual offences and to ease the transition into the community, while speaking to the fear of victims (88).” Cesaroni uses two open ended surveys, one for nine of the ten core members and the other for 45 out of the 53 participating circle members, to analyze the merits of the program, finding that these groups share relatively positive uniform perceptions of the program, though with some constructive criticism. Half of the circle members felt that without the program they would have been more likely to offend, while a significant

number felt that their propensity to revert to drug use (25 percent) or feel powerless in the community (16.6 percent) would have been much greater. What is more, following their involvement in the program, 80 percent of offenders became or remained empathetic to the issues surrounding sexual offences, and a majority of both core and circle members felt the program was a benefit to the community in terms of overall safety and reducing recidivism.

Incarceration and the Community: The Problem of Removing and Returning Offenders

Todd Clear, Dina R. Rose, Judith A. Ryder
Crime and Delinquency, 2001, 47: 335-351

This study examines the “spatial concentration of incarceration” — how some urban neighborhoods are the homes of a disproportionately high number of offenders. They examine how these neighborhoods are affected by the high turnover of residents. Using a snowball sample, the authors interviewed 39 Tallahassee, Florida residents in high-incarceration neighborhoods, consisting of 26 residents and 13 ex-offenders. The interviews reveal that the stigma of incarceration brings deleterious effects to ex-offenders and the community, imposes financial burdens on families and the neighborhood, and disrupts community relationships. The authors then offer a detailed list of policy and research recommendations. Among their policy suggestions, they emphasize not only offenders are in need of reentry services — prerelease programming, housing, employment, education, treatment, etc., — but also families of offenders need services, enabling them to maintain contact with the incarcerated family member and sustain themselves during the incarceration and reentry period. Finally, they argue for programs that reintegrate offenders into the civic life of the community, through social support groups, mentoring, and voluntarism.

Wecome Home? Examining the ‘Reentry Court’ Concept from a Strength-Based Perspective

Shadd Maruna and Thomas P. LeBel

Western Criminology Review, 2003, 4: 91-107

Recently, the Department of Justice has become interested in reentry courts, funding pilot sites in eight states. With some similarities to drug courts, reentry courts would

take an active role in offender supervision and management. “Whereas, the role of the judiciary typically ends after sentencing, the reentry court model would move the court system into a ‘sentence management’ role, overseeing the convicted person’s eventual return to the community” (p.92). Maruna and LeBel examine the underlying narratives or explanations given for why reentry courts would work. They argue that the reentry court concept suffers from the same conceptual conflicts underlying traditional parole practices. In short, two limited narratives are typically provided. First, a control narrative emphasizes risk management and the threat of sanctions. Second, a support narrative focuses on offender needs and treatment. Maruna and LeBel propose a third narrative, one that might well apply to community corrections more generally. They called this a strengths-based narrative, but one might also refer to it as a restorative justice narrative. “Strength approaches would ask not what needs to be done to a person in response to an offense, but rather what the person can accomplish to make amends for his or her actions” (p.101). The authors refer to Maruna’s earlier research linking successful offender reintegration with strength narratives. □

David R. Karp is an Associate Professor of Sociology at Skidmore College in Saratoga Springs, New York. Nick Adornetto is a senior, government major at Skidmore College.

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Q:

Is there an ideal size?

Caseload Size in Probation and Parole

A:

Yes, but only if valued results matter.

The professional debate regarding ideal caseload size has continued for the past three decades. Likely, this issue was also a professional “bone of contention” since the inception of probation and parole services in the United States. It is unfortunate that the caseload size problem has not been resolved. The failure to come to grips with standards for staff to offender ratios has resulted in nothing short of operational chaos, in some quarters, in the delivery of probation and parole services intended to enhance public safety and justice for all.

Most professionals can agree that a probation and parole officer (PO) to offender caseload ratio of 1:500 is absurd. In fact, their similar sentiments and consensus would be obvious at ratios of 1:300; 1:200; and 1:100. These PO to offender caseload ratios are, unfortunately, all too common. How is it that this startling situation is permitted to exist? Do these unwieldy staff to offender caseload ratios result in more crime victims than would be the case if the ratios were smaller? These are some of the questions that we will attempt to shed light on below.

Some years ago, the American Probation and Parole Association (APPA) tackled the matter of an ideal caseload size. The effort was excellent, the result mediocre. Moreover, the final position adopted by the APPA did not affirmatively link caseload size to recidivism and/or justice outcomes. In the end, the professional door remained open to approach policies regarding caseload size from an optional rather than a compelling perspective.

The American Probation and Parole Association’s current leadership has asked its Positions and Evidence-Based Offender Program Committees to work together for the purpose of developing a set of policy recommendations for caseload size. In addition, the committees are charged with assuring that the policy recommendations are congruous with the valued outcomes expected from probation and parole services, specifically public safety and justice.

We believe that the best way to respond to the APPA call for action is to work backwards from the desired end-result towards strategies that can produce it. The notion of beginning with the end in mind is certainly not new, and it is a paradigm that is used by successful individuals (see Stephen Covey’s book *The Seven Habits of Highly Effective People*), government organizations (NASA in its efforts to land an astronaut on the moon), and private corporations (Lee Iacocca’s and Henry Ford’s visions for Chrysler and Ford, respectively).

If public safety and justice are unaffected by caseload size, then the profession needs to know that and forevermore stop debating it. If the opposite is the case, as virtually every professional knows it is, then the profession must speak forcefully with a unified voice through organizations like the APPA. The simple message of this article is that publicly valued outcomes will not be achieved if caseload size exceeds a certain staff to client ratio. Ultimately, the focus should be on making a compelling case for adoption of the state-of-the-art when it comes to saving lives, reducing harm, and fostering the administration of justice for all – especially current and prospective crime victims.

Caseload Size and the “What Works” Evidence

If research has taught us anything over the past 20 years it is that it is indeed possible to reduce individual offender recidivism (Andrews & Bonta, 2003). This possibility, however, turns on extent to which

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probation and parole organizations effectively make use of certain principles for effective intervention (for a detailed presentation of these principles see Gendreau, 1996). The reduction of individual offender recidivism results in increased public safety. In fact, the research in this regard tells us that we can expect reductions in the range of 10-30 percent.

The general professional sentiment regarding “what works” versus “nothing works” seems to be overwhelmingly in favor of the former over the latter. Nevertheless, when one scans the professional landscape of actual practice, it becomes readily apparent that there are policies, programs, and practices in place that are antithetical to individual offender recidivism reduction, and therefore to public safety and justice concerns as well. This disconnect is not surprising to practitioners. In fact, it is commonly and forcefully expressed at professional conferences, workshops, and training sessions that we have participated in across the continent and in Europe too!

Caseload size is perhaps one of the best examples of this troublesome state of the profession. Line staff, mid-level managers, administrators, judges and parole board members often frustratingly comment that it is not possible to effectively supervise offenders in community settings without sufficient staff resources. On the heels of such statements, professionals opine that the elected officials who fund “us” (probation and parole) either do not understand us, or do not want to pay the cost required for quality services.

We offer an alternative explanation for the soft funding support. That the profession has not tightly and obviously linked policies, practices, and programs to the outcomes that the funders want to procure. And, quite frankly, that probation and parole practitioners want to provide.

The question before us on this very important topic is whether or not probation and parole services can produce valued results at any staff to offender caseload ratio as opposed to some yet to be determined ideal ratio. Once this question is answered, then the profession must turn our attention to a formula or process for determining what the ratio should be. First however, and in keeping with the results-driven model set forth in the Introduction, it is necessary to examine which probation and parole supervision strategies/principles actually enhance public safety and justice.

The research on individual offender recidivism reduction tells us, among other things, that:

- It is essential to foster firm, fair, and constructively caring relationships between offenders and service providers (e.g. POs).
- Offender risk should be assessed using a valid dynamic risk assessment that targets criminogenic needs.
- Once criminogenic needs are identified, case management strategies should be developed that target these need deficits.
- Staff providing services to offenders should at all times serve as prosocial role models.
- Staff providing services to offenders should find ways to reward offenders when they exhibit desirable conduct (e.g. verbal affirmation by a PO, community acknowledgement, etc.).
- Staff providing services should quickly react to undesirable behavior in an effort to “steer” the offender towards the objectives of supervision.
- Offender progress in the context of a case management plan should be closely monitored and assessed.
- Attention should be paid to the quality of treatment services being provided.

This partial listing of the principles for effective offender intervention is likely familiar to virtually all probation and parole professionals. We think it is important, however, to again call attention to these kinds of principles as the matter of caseload size is revisited. The principles essentially represent workload tasks for probation and parole officers. Workload tasks that derive from “what works” principles can be complemented by other tasks associated with ameliorating the social correlates of crime. In this regard, we now turn to a brief summary of workload functions associated with broken windows probation and parole (Reinventing Probation Council, 1999).

Caseload Size and Broken Windows Theory – Adding Community Justice to the Agenda

Unlike the “what works” approach to recidivism reduction, the broken windows model does not yet have a body of empirical evidence to support it. Notwithstanding the paucity of empirical evidence, the principles set forth in the model are logical and they make intuitive sense to street-level probation and parole practitioners. The broken windows model, like the “what works” model seeks to enhance public safety and justice for all. To accomplish this, there are certain principles that drive staff activities. Some of the principles are:

- POs should regularly interact with community members and leaders.
- POs should develop and maintain meaningful collaborations with law enforcement, social service agencies, treatment providers, as well as civic and faith-based organizations.
- POs should vary their hours of work to include routine evening and weekend coverage.
- POs should strive to become well-known to individuals who reside in the communities where offenders live.
- POs should attend to the needs of current and prospective victims of crime.

The Inseparable Nature of Workload and Caseload

The amount of time that it will take to accomplish each task under the two approaches to probation and parole services will vary depending on such things as offender risk level, geography of a jurisdiction, staff competencies and numerous other factors. This workload variability is a critical component to understanding caseload size problems and solutions.

In addition to the actual offender supervision functions noted above, POs are also faced with a significant number of non-supervision, or administrative, tasks. The sum total of offender supervision and administrative tasks constitutes the work that must be performed by POs during a given work week. It is within the context of this workload dynamic that matter of an ideal caseload size must be understood analyzed and resolved.

The notion that the workload of POs forms the basis for caseload size is not new. In the mid-1970s, the National Institute of Corrections (NIC) spearheaded a professional movement to implement a model system for probation and parole. The model system was based on work done in Wisconsin at that time. It included the assignment of risk levels to offenders, case management, and workload measures to determine optimum resource allocation within probation and parole organizations.

The determination of workload measures was to be made, according to the NIC model, through something akin to time and motion methodologies well-known to profit making private enterprises. The

goal of this approach to PO workload was to establish a process that: a) accounted for variability in workload flowing from offender risk level (e.g. high risk requires more work than low risk); and that b) respected the differences across probation and parole jurisdictions. It was believed that through this process the integrity a PO's ability to deliver on short-term risk management and long-term behavioral reform of offenders under supervision would be maximized.

Policy Recommendations for the "Ideal Caseload"

We strongly endorse the notion that the determination of an ideal caseload size can only be accomplished in conjunction with a determination of ideal workload measures. Moreover, we support a results-driven approach to the delivery of probation and parole services that emphasizes public safety and justice for all.

Ultimately, the ideal caseload size will be somewhat unique to local jurisdictions; the process for making this determination, however, is universally applicable to all. With this in mind, we offer the following policy recommendations:

- Articulate principles for effective probation and parole supervision keeping the outcomes of short-term risk management, long-term behavioral reform of offenders, and justice for all (which includes restoration of victims) as the guideposts for the adoption or rejection of particular principles.
- Identify PO workload tasks that are required to deliver effective supervision services within the context of the articulated principles.
- Identify administrative and investigative tasks that are required of POs.
- Conduct a time study to determine the amount of time needed to accomplish required tasks – offender supervision and administrative.
- Establish workload units for all tasks performed by POs based on the findings of the time study.
- Assign tasks to POs that respect the realities of the established workload measures. This means rigorous honesty with internal and external stakeholders. Simply put more cannot always be done with less.
- Prioritize tasks/functions that the agency should perform.
- Allocate workload resources to the tasks/functions according to the prioritization.
- Present a rationale for the prioritization of tasks/functions.
- Identify tasks that cannot be adequately accomplished at current workload resource allocations.
- Articulate the deleterious effects of not performing the tasks for which there are insufficient resources to accomplish.
- Collect data that demonstrates that administering probation and parole services within realistic workload parameters reduces recidivism, and therefore victimization, more than if services are provided in an overburdened workload environment.
- Demonstrate, through agency management information systems, that administering probation and parole services within realistic workload parameters enhances the ability to hold offenders accountable and assure that justice is served, more than if services are provided in an overburdened workload environment.
- Collect data on the level of community and victim satisfaction with the services provided.

Conclusion

Caseload size is directly related to workload which is directly linked to probation and parole's success or failure with regard to enhancing public safety and assuring justice for crime victims as well as those under supervision. This bold but true statement moves the need to affirmatively move the resolution of this issue from the realm of the optional to that of the compelling.

It would be ludicrous to think of the medical profession, for example, stepping away from resolution of a policy issue that is linked to sickness and health, or life and death. The obvious nature of these outcomes forces resolution of critical policy issues. And, in the medical profession, as in all other professions, resolution of policy debates is grounded in empirical research whenever possible, and in its absence respected theories.


The time has come for the probation and parole profession to move to the next level of its professional development. In so doing, an affirmative statement will be made that the manner in which probation and parole services are administered is a matter of the most serious consequences. In no uncertain terms, it is a matter of our own well-being, and sometimes of life and death.

The strategies for determining an ideal caseload that are set forth herein will not be easy to undertake. However, with the will to do it, they can be implemented. In any case, the long-term payoff in terms of rational resource allocation and budgeting far outweighs the efforts involved. Certainly, the failure to make this professional change will ensure that the debate about caseload size; along with the professional complaints about inadequate resources, will remain with us for the next three decades as well. Worst of all, there will be more crime victims and injustices than would otherwise have been the case if the profession once and for all stood firm on the matter of workload and its very real consequences.

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Mario A. Paparozzi, Ph.D. is an Associate Professor for the Department of Sociology, Social Work, and Criminal Justice at the University of North Carolina at Pembroke. Gary Hinzman, MPA is the Director of the Department of Community Corrections, Sixth Judicial District in Cedar Rapids, Iowa.



Probation officers play an ever-increasing role in the American criminal justice system, but this role entails stressors that can erode professional performance and personal health. These include role ambiguity, role conflict, role safety concerns, low pay and promotional opportunities, excessive paperwork, lack of administrative and supervisory support (Whitehead, 1985; Whitehead & Linquist, 1985; Brown, 1987; Holgate & Clegg, 1991; Lindner & Koehler, 1992; Lindner & Bonn, 1996; Whitehead, 1987; Slate, Wells & Johnson, 2003). At an organizational level, such stressors can contribute to job dissatisfaction, interpersonal and inter-unit conflict and officer turnover (White, 1997; Curtis, Reese, & Cone, 1990; Simmons, Cochran, & Blount, 1997).

Studies to date of probation officer stress have focused on the negative effects of stress on the individual officer and the health of the organization, and sought to extract from these studies proactive strategies to ameliorate professional stress. The goal of the current study was to identify how probation officers who have sustained high levels of professional performance and personal health manage the stressors of probation work.

METHODOLOGY

Fifteen county probation departments in Illinois were contacted by the Administrative Office of the Illinois Courts (AOIC) to solicit their participation in a study of exemplary performance among probation officers. All agreed to allow an officer selected by the AOIC to participate in the study. The fifteen county probation offices included urban, suburban and rural settings, and spanned offices of varying size (from 2 to 124 probation officers). The officers chosen for inclusion in the study were selected by the two senior staff of AOIC responsible for monitoring probation departments in the State of Illinois. The AOIC monitors were in a unique position to nominate participants due to the longevity of their direct work with these departments and their probation officers. Five criteria were used to select participants for study recruitment: 1) longevity (at least 3 years tenure as a probation officer), 2) a caseload that included high-risk offenders (recidivists that posed a significant threat to public safety), 3) exemplary performance (sustained professional achievement), 4) positiveness (regular expression on hope and optimism), and 5) personal health (sustained physical, emotional and relational health over the span of his or her career).

Fourteen of the 15 nominated individuals consented to participate, completed an individual questionnaire and participated in a regional focus group interview. The age range of participants was 31 to 61 years with a mean of 42.2 years of age. The sample was 14 percent male and 86 percent female. Participants varied in years of probation experience (3 to 26 years with a mean of 12.9 years) and worked in different demographic settings: 64 percent rural; 21 percent suburban and 15 percent urban). Seventy-nine percent of participants had completed a Bachelor's degree in college, and 21 percent had a Master's degree.

The individual questionnaire completed by each participant elicited demographic information (age, gender, ethnicity, educational, occupational) and responses to open-ended questions about the individual's experience as a probation officer, philosophy of probation work, and strategies utilized to maintain a positive approach to his or her work. The questionnaire also contained a list of professional and personal activities that participants rated as to their importance in their sustained performance and health. Four regional focus groups of study participants were facilitated by field coordinators



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of the Administrative Office of the Illinois Courts and by research staff from the Institute for Legal and Policy Studies at the University of Illinois-Springfield. Each focus group included an average of 3-4 participants, lasted approximately two hours, and addressed eight questions related to strategies for sustaining performance and health as a probation officer. Responses on the individual questionnaires were analyzed, and focus group interviews were transcribed and analyzed for dominant themes and recommendations.

RESULTS

Professional Traits Linked to Exemplary Performance Study respondents expressed a high degree of unanimity on the characteristics that were crucial to sustained exemplary performance by probation officers: maturity, tolerance, open-mindedness, flexibility, technical competence, self-confidence, empathy, patience, integrity, honesty, humor, and humility. Focus group discussions of these characteristics centered on the need for compassion, a commitment to facilitating change in people's lives, and an understanding of how such change occurs. The ability to see the person beyond the offense was seen as crucial to effective probation work. Considerable attention was also given to the ability to respond to the multiple role demands of probation work—demands in relationships with probationers, in relationships within the probation department and the larger court system, and in relationships with allied professionals and the public.

Probation Stressors Data from this study revealed three core stressors of probation work: role ambiguity/conflict, role overload and role integrity conflict. Respondents talked at length about the tension between their monitoring and enforcement functions and their helping functions. That tension is intensified by cyclical philosophies of rehabilitation (the probation officer as a specialized social worker) and philosophies of "trail'em, nail'em and jail'em" (the probation officer as a specialized law enforcement officer).

Role overload—excessive demands related to the quality and quantity of work expected within particular time periods—expressed itself as a tension between system demands (e.g., predictable deadlines for client visits, reports, court appearances; unexpected emergencies) versus the needs of assigned probationers (e.g., need for re-admission to addiction treatment or admission to domestic violence shelter services). Comments like the following expressed this strain.

I can have somebody's file pulled because they are a higher-risk person and I want to focus on his supervision and service needs, and then the sixteen stupid things that I shouldn't have to be dealing with at all come walking in the door. At the end of the day I realize that the one person I really should've been spending time with didn't get any time. That frustrates me because, let's face it, those are the cases that potentially are going to blow up in your face.

Role-integrity conflict—incongruence between personal values and workplace values and challenges to one's personal integrity—most often took the form of disrespect of the probation officer role or person from others within the criminal justice system. As one probation officer reported:

The stress comes from the judge, the state's attorney, the police, the jail staff and the county board. The only times I ever get mad and want to say, "I'm outta here" is when too many egos get in the way of getting something worked out. I really enjoy the job.... I can handle the probationer, but for the judge and the state's attorney and others to have expectations that we [probation officers] can do things that we can't is frustrating.



EXEMPLARY PERFORMANCE AND HEALTH AMONG PROBATION OFFICERS

COVER STORY

The need to understand the politics of probation work and the complex system in which probation work occurs was noted by most respondents as was the importance of probation officers establishing mutual respect within the multiple professional relationships inherent in probation work and in negotiating relationships with family members of offenders, victims and members of the public.

We get calls from family members, neighbor or victims wanting to report some concern about a probationer. They demand, "Why aren't you people doing something?" Probation officers are blanketed within this "you people" category. It is not an endearing term. When we try to explain what we can and can't do in response to such complaints, they have difficulty understanding the legal limitations we operate under.

The problem of spillover from these role stressors—the leakage of professional stress into one's personal and family life—was raised as a concern in all of the focus groups.

Most probation officers' lives are kind of chaotic due to the size of our caseloads and the nature of who we have to deal with. It's hard not to reduce everything to self-preservation, routing people without getting in-depth, just to survive. At a personal level, I think most officers stay pretty closed up—like police officers. What do you do—go home and tell your wife or husband about the child abusers and rapists you saw in the office today? It's difficult for officers to not carry their work home, and yet difficult not to be able to talk about it there.

Stressors with high-risk offenders (recidivists or individuals high risk for re-offending who pose a significant threat to public safety) focused on the visibility of such cases. Supervising high-risk offenders was described as working in a fishbowl with multiple parties watching and judging what the probation officer does or fails to do. When the exemplary performers talked about taking work-related stress home with them, it was almost always in the context of worry about a particular offender's threat to others

You feel intense pressure because you have such a responsibility to the community. These high-risk offenders pose such a potential threat to public safety that you feel pressure to find the right treatment for this person and to make sure that they're getting something out of it.

Obstacles to Self-care Study participants noted two characteristics that distinguished probation officers from other service occupations: the contagious cynicism that pervades the criminal justice system and the limited access to outside professional training afforded probation officers. Another obstacle to self-care is the lack of personal/professional role separation in rural communities. The following comment illustrates the difficulty of leaving one's work at work in such settings.

In small communities, we are all interconnected. It brings a different kind of accountability. You can't just go home and forget about it because your neighbors are the people you are working with or know your clients.

TABLE 1: PROFESSIONAL SELF-CARE STRATEGIES

AVERAGE RATING	STRESS REDUCING ACTIVITY
2.9	Cultivating a sense of humor
2.9	Having healthy intimate and family relationships
2.7	Having one or more close relationships at work in which I can express emotions related to my work experience
2.7	Having enjoyable hobbies/leisure activities
2.6	Maintaining relationships with professional peers who work outside the criminal justice system
2.6	Having one or more close friendships away from work in which I can express emotions related to my work experience
2.6	Avoiding or self-monitoring potentially harmful approaches to stress management (e.g., smoking, drinking, risk-taking, cynicism and negativity)
2.5	Physical self-care (e.g., healthy diet, regular physical checkups)
2.5	Attending professional training
2.4	Cultivating relationships with other POs who have a positive attitude
2.4	Having alone-time rituals that keep me focused (e.g., meditation, prayer, self-reflection)
2.4	Getting regular exercise
2.1	Maintaining relationships with POs who work in other offices
1.9	Daily goal-setting and/or self-evaluation at end of the day
1.9	Having one or more professional mentors
1.9	Doing volunteer work unrelated to my job
1.7	Using particular stress management techniques (e.g., biofeedback, meditation, progressive relaxation)

Self-Care Strategies Information on professional self-care strategies of exemplary performers in probation work was obtained in two ways. First, each study participant was asked to rate each item in a list of professional self-care strategies (drawn from the professional literature) based on each strategies degree of importance in maintaining the worker's health and performance. The rating options were 1 (not important), 2 (important) or 3 (very important). There was a high degree of variability in ratings with each of the seventeen items being ranked as very important by at least one participant. The average ratings for the seventeen items are displayed in Table 1. The highest-ranking strategies involve the cultivation of certain qualities (e.g., sense of humor), relationships (intimate and family relationships, supportive relationships within the work environment, and supportive relationships in one's extra-work social network), and activities (hobbies, self-monitoring, exercise, attending training).

Participants were also asked in the focus groups to describe the strategies of personal and professional self-care that had contributed to their health and productivity. The following strategies were among those most frequently discussed.

A. FOCUSING ON THE POSITIVE

The stressors experienced by exemplary officers are offset by satisfactions they experience in the performance of their role. What participants liked best about probation work included the experience of making a difference to individuals, families and communities; the diversity and challenges of their professional work; the depth of knowledge they acquire about local communities; and the autonomy and creativity they are afforded in developing a personal style of probation work.

B. SELF-MONITORING

Study participants felt that health and exemplary performance were not permanent achievements, but states that had to be constantly monitored and renewed. They viewed self-monitoring and a highly personalized adaptation to the probation environment as the foundation of sustained health and performance.

C. ACTS OF SELF-CARE

Exemplary performers in probation work take care of themselves via exercise, healthy diet (although there was considerable discussion about the medicinal power of chocolate), and protecting time with family and friends. When they recognize that they are feeling distressed, they utilize a wide variety of decompression rituals that range from short time-out periods (getting outside, taking a brief walk, positive self-talk, emotional self-expression to peers, a supervisor, or family or friends) to more extended breaks from the work environment.

The exemplary performers talked at length about the special place of humor and positive self-talk in probation work.

The exemplary performers talked at length about the special place of humor in probation work.

We [probation officers] are like a lot of high stress professions in our propensity for Gallows humor. We have this warped way of looking at things. We'll laugh at something that people who don't work in

this field would never laugh at. It's a protective device that helps us deal with a lot of strong emotion.

Positive self-talk took a variety of forms, but included self-reminders that the probation officer works within a flawed criminal justice system that will always be flawed based on the combination of excessive demands and limited resources imposed upon it. Being able to accept the imperfections in the criminal justice system and one's limited role in that system was viewed as critical to long-term effectiveness and health as a probation officer.

The importance of time-out periods was noted by numerous participants. The following comment is representative.

When it gets too much, I get up and leave my office and walk outside or walk to the car. Sometimes I will get on the computer and check out the news for a few minutes. I get to a point I just have to take care of my own needs, and then I can come back to the work stuff and look at things a differently and with a fresher perspective.

D. LIMIT-SETTING AND BOUNDARY MANAGEMENT

Exemplary performers achieve a high degree of productivity, but sustain that productivity by carefully limiting their commitments.

Study participants, because of their recognized productivity, had to regularly reign in their propensity to over-commit themselves in response to requests to take on additional responsibilities. The ability to manage their workloads seems to have been a key to long-term performance. This group of exemplary performers also found ways to define and maintain the boundary between their personal and professional lives.

Our church takes a bus to the treatment facility in our town and brings them to our church. I've got a large number of my clients who attend the same church I do, and I've had to learn how to manage that. My clients all want to come up and talk to me there. I want them to know that I'm glad to see them, but I will not talk business

It's really important for us to recognize, and I think we do it intuitively, who's gonna suck the energy and positive stuff out of us, and who's gonna help rejuvenate us. I try to spend as much time as possible with the positive people.

with them there. I've had to learn to say, "Gimme a call on Monday and we'll talk about that."

This involves maintaining perspective on the relative importance of one's work in relationship to one's whole life and the use of particular transition rituals to prevent carryover of work stress into the home.

I think the healthiest probation officers find a good balance between their professional lives and their personal lives. They're not living only for work or only taking care of themselves and their families and doing nothing at work. They can work hard and then go home and leave it behind them and focus on other people and activities.

E. CENTERING RITUALS

Exemplary performers use centering rituals—rituals that reaffirm one's core identity and core values (White, 1997). For some, this involved the arenas of religion and spirituality while for other this involved finding activities that re-affirmed the existence of goodness and decency—an antidote to the confrontation with negativity and pain that is so much a part of probation work.

I think that the spiritual aspect of a probation officer's life can help, and I'm not saying it has to be one particular religion. It may not have to be religion at all, but just having some type of spiritual element to your life helps you get through with what you have to deal with on the job.

I really push myself to spend time with the good people in the community. If you're dealing with people who are criminals during your workday, some part of the rest of your time needs to be spent with pro-social people. I think that helps me to keep aware of the fact that most people who live in the community are decent. To keep from getting cynical and jaded, I have to do things that prove that to myself.

F. MIRRORING RITUALS

Mirroring rituals are interactions with people who reinforce one's aspirational values. The exemplary performers in our study cultivated relationships with people who respect such performance and isolated themselves from those whose negativity they view as toxic.

There are times when we're emotionally down or emotionally up, and there are some people who are constantly negative or positive. It's really important for us to recognize, and I think we do it intuitively, who's gonna suck the energy and positive stuff out of us, and who's gonna help rejuvenate us. I try to spend as much time as possible with the positive people.

G. UNPAID ACTS OF SERVICE

Several participants described unpaid volunteer work outside of the probation field as a means of sustaining their health as a probation officer.

Performing acts of service in one's personal life would not on the surface seem to offer a source of replenishment from high stress service occupations, but the exemplary performers we studied tended to use

these activities to reinforce their identities as people who were making a positive difference in the world and to give something positive to their communities outside the framework of paid employment.

I volunteer for the local YMCA where I teach a class for two and three year olds. I find such activities rewarding for me and a break from so many negative things I see in the probation part of my life.

Organizational Approaches The exemplary performers in this study felt that there were several organizational strategies that could help optimize the performance and health of probation officers. Many praised efforts at health promotion that some counties and court systems had initiated, but they also emphasized the positive role of office policies (e.g., flex time), in-house training and team-building and the quality of supervision. Ideally, they envisioned a chain of support through which they were supported in ways that allowed them to effectively monitor and support those they served.

DISCUSSION

This study examined stressors and stress management strategies among probation officers who have sustained high level of professional performance and health. The stressors identified by study participants included such conditions as role ambiguity, role conflict and role overload that have been identified in earlier studies of probation officer stress (Whitehead, 1985; Lindner & Koehler, 1992; Whitehead, 1987; Whistler, 1994; Lindner & Bonn, 1996), but included a greater emphasis on the special difficulties probation officers experience in trying to achieve a separation between their professional and personal lives.

There have been two central theories about professional burnout: one attributing the source of worker distress to prolonged contact with clients (Maslach, 1982), and another arguing that the source of such distress derives more from factors in the organizational environment (Cherniss, 1980). Whitehead (1985) tested these theories in the probation environment and found that most probation officer stress was rooted more in the lack of organizational support for the probation officer than in stressors the probation officer experiences in relationships with his or her clients. The present study supports Whitehead's findings. The probation officers in our study did not report client contact as the major source of their professional stress. In fact, most of our respondents cited such contact as a source of professional satisfaction. The stressors they reported experiencing most frequently and most intensely related to the organizational conditions within which their relationships with probationers were conducted.

The strategies used by study participants to elevate and sustain their performance and health are widely recognized in the classic stress management literature (Selye, 1974; Pelletier, 1977), but contain qualitative differences. There is a substantial body of literature on the use of professional mentors to enhance the health and performance of human service workers, but this particular strategy ranked fifteenth of seventeen strategies participants were asked to rate in personal importance. Similarly, formal stress management techniques occupy a central place in the stress management literature, but ranked least

important of the seventeen strategies rated by the probation officers in our study. In contrast, relationships played a particularly important role in ameliorating stress among our participants. Five of the top seven stress-amelioration strategies used by our super performers involved drawing support from relationships within and outside the work environment.

This study also sheds some light on the particular style of stress management that super performers utilize to sustain their performance. When asked how they responded to being angry, depressed, frustrated or exhausted at work, our respondents consistently described an activist response to such feelings. Rather than project blame for these emotions, the exemplary performers examined how these feelings related to their own behavior, took personal responsibility for those feelings, and then took action to change them. Given the choice to respond to stressors emotionally, cognitively or behaviorally, the super performers in our study exhibited a marked preference for action.

There are several limitations to the present study. As a pilot study, the small number of participants precluded quantitative analysis and the identification of variance in responses by age, gender, ethnicity, tenure of experience and caseload mix. The small study sample contained an unrepresentative proportion of Caucasian, female probation officers from rural areas — a sampling bias that may have shaped the character of our findings. The study lacked a comparison group of probation officers who had experienced sustained performance problems and health problems. (Use of a comparison design was not politically or practically feasible.) The study design was also hampered by the lack of objective criteria to define exemplary performance and health.

Notwithstanding these limitations, this is one of the first studies to use a resilience framework (versus a pathology) framework to study probation officer stress. This study marks a shift from studying the problem of stress to studying the lived solution. It is, as such, a study of stress (sustained demands for adaptational change) without distress (deterioration in personal health and professional performance). Studies that focus on the negative aspects of professional stress can mask the fact that there are professionals who thrive in these very conditions. We have tried to open a window of understanding into such professional resilience. It is our hope that this qualitative study of high-functioning probation officers will stimulate additional studies of exemplary performance and health in the criminal justice system.

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Acknowledgement: This study was supported by a grant to the University of Illinois at Springfield Institute for Legal, Administrative and Policy Studies from the Illinois Department of Transportation. The opinions expressed here are those of the authors and do no represent opinions or policies of the Illinois Department of Transportation or the University of Illinois. □

William L. White is a Senior Research Consultant at Lighthouse Institute—the research division of Chestnut Health Systems; David Gasperin is the Probation Program Coordinator of the Administrative Office of the Illinois Courts; Judi Nystrom is the Probation Management Operations Specialist at Administrative Office of the Illinois Courts; Tom Ambrose is the Senior Training Coordinator, Institute for Legal and Policy Studies, University of Illinois at Springfield; and Carol Esarey is the Interim Director, Institute for Legal and Policy Studies, Center for State Policy and Leadership, University of Illinois at Springfield.



CONSULAR NOTIFICATION AND ACCESS:

IT'S THE RIGHT THING TO DO

.....

California just passed a statute mandating consular notification for foreign national inmates by state corrections officials. Oregon law requires consular notification education of law enforcement officials. Texas instructs its magistrates to do consular notification for foreign nationals arrested in that state. The Pretrial Services Office for the Southern District of New York has instituted procedures to ensure that all foreign nationals processed there are informed that they can request notification to their consulate. What is consular notification and access? Why is it growing in importance as an issue?

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BY A. BRUCE AMMERMAN AND JAMES A. LAWRENCE

An arrest or detention in a foreign country can be one of the most frightening experiences a person living or traveling abroad can face. These situations happen more frequently than we might think (nearly 3,000 Americans are arrested overseas each year) and when they do, U.S. consular officers can help. Consuls may communicate with detained fellow-nationals, assisting them in arranging legal representation and by monitoring courtroom proceedings, ensure a fair trial; they may intercede with prison authorities about conditions of confinement and may bring a detainee reading material, food, clothing and medicine; and they may contact the detainee's family to advise them of the detainee's condition and morale.

But the consular officer can do nothing for the detained national if he or she is not informed of the detention by local authorities. The process of informing a foreign government of the arrest or detention of a foreign national, and allowing that government to communicate with its detained nationals is called consular notification and access (CNA). It is such an important issue that almost every government in the world, including the United States, has signed treaties codifying their obligation to provide CNA. All governments want to be able to assist their citizens in trouble even if they are accused or convicted of a crime. Just as we expect Americans to be treated fairly and justly, so too do other countries expect similar treatment for their citizens. By providing consular notification and access to detained foreign nationals in the United States, we help to ensure that American citizens abroad receive the same treatment in accordance with international law.

Recent litigation has highlighted the importance of providing consular notification. In the past several years, Paraguay, Germany, and most recently, Mexico have sued the United States, in the International Court of Justice (ICJ), based on allegations that the competent authorities in the United States had failed to provide consular notification to their nationals in criminal proceedings. In the suit brought by Mexico, the ICJ found that the United States had not followed the required CNA procedures in the cases of 51 Mexican nationals on death row. The Governor of Oklahoma subsequently decided in May of 2004, to commute the death sentence of Osbaldo Torres, one of these 51 Mexican nationals, to life without parole, citing the failure to provide consular notification as one of the reasons for granting clemency. In addition, an Oklahoma court ordered that Torres be given a hearing on whether he was prejudiced by the treaty violation. Criminal defendants will continue to raise CNA issues in criminal proceedings, particularly given the attention focused on these issues in the recent litigation in the ICJ.

By following a few straightforward and simple procedures, you will be in a position to quickly and easily resolve allegations of CNA violations, whether raised in litigation or through diplomatic channels. In most cases, CNA requires no more than a few minutes, and often it is as simple as asking two questions or sending a fax. While it is generally recommended that the arresting officer make the notification, corrections, probationary, parole, pretrial services and judicial officials also have an important role in the CNA process. The following article will delve into these issues in more detail and will explain the procedures for complying with our treaty obligations.

REMEMBER THIS MANTRA: NOTIFICATION IS AN OBLIGATION

The Vienna Convention on Consular Relations (VCCR) is widely accepted as the standard for the treatment of foreign nationals in the United States, and for the treatment of U.S. citizens abroad by foreign governments. Almost every country in the world is now a party to the VCCR, which among many other things requires that arrested/detained foreign nationals be informed that they may communicate with their consuls, and gives them the option of having the consulate notified of their detention. Additionally, the VCCR requires consular notification to be made when foreign nationals die, when courts appoint a guardian or trustee for a foreign national minor or incapacitated adult, and when a foreign-registered ship or aircraft wrecks in U.S. territory. The VCCR does not specify a particular process for making consular notification, but instead provides broad guidelines. For example, the VCCR states that CNA must be done without delay and does not specify exactly what that means.

In addition — and in contrast — to the VCCR, which as noted above gives the arrested/detained foreign national a choice about notification, the United States also has separate bilateral treaties with nearly 60 countries (listed below) that contain provisions requiring consular notification regardless of a detainee's wishes. These treaties often contain specific language defining CNA obligations more precisely than the VCCR. A treaty with Bulgaria, for example, requires that the Bulgarian consulate be notified “no later than three calendar days from the date on which the [Bulgarian] national was placed under any form of deprivation or limitation of personal freedom” — so the detainee has no choice about whether his or her consulate is notified of the detention *and* there is a specific time limit and a description of the type of detention that triggers the CNA obligation.

Under both the VCCR and the bilateral treaties, following consular notification procedures *is an obligation*. It is not something you can choose to do or not to do. Under the Supremacy Clause in Article VI of the U.S. Constitution, the VCCR and all other treaties signed and ratified by the United States are “the supreme Law of the Land.” The responsibility for providing CNA lies with what are generally called “competent authorities.” This term is understood to mean those officials who are responsible for legal action affecting the foreign national and who have the authority to give the notification required. This interpretation makes sense as a practical matter: compliance with the notification requirement works best when it is assigned by those government officials closest to the foreign national's situation and with direct responsibility for it.

In a perfect world, the arresting officer or agency would follow the appropriate CNA procedures every time. However, as demonstrated by recent court cases and complaints filed with the Department of State, foreign national detainees have sometimes spent years in the correctional system without ever being aware of consular notification or access. It is therefore imperative that all U.S. officials involved in the arrest, detention, prosecution and sentencing of foreign nationals work together to make sure that CNA has been provided in accordance with our international obligations. The Department of State strongly encourages probation and parole officers, as well as others involved in pretrial services, to act as backstops in the consular notification process. In some cases, it may be appropriate for officers of the courts to make consular notification themselves (see side-bar). All it

takes is a simple inquiry at the initial meeting with a foreign national detainee to determine whether consular notification was provided; if notification has not been provided, the steps for remedying the situation are just as simple.

THE NUTS AND BOLTS OF CNA

In all cases, a foreign national arrested or detained in the United States must be told that he or she can request notification to his or her consulate and communicate with his or her consular officials. As previously discussed, in most cases, the foreign national then has the option to decide whether to have the appropriate consular representatives notified of the arrest or detention. In other cases, however, the foreign national's consular officials must be notified of an arrest or detention regardless of the foreign national's wishes. Therefore, whenever a foreign national is taken into custody, the detaining officials should determine whether consular notification is at the option of the foreign national or whether it is mandatory.

Information about nationality should be entered into a detainee's case file at the time of booking. If you are unsure of a detainee's nationality, check passports or foreign national registration documents. A birth certificate from another country may also specify a person's citizenship; be careful, however, because not everyone born in a given country retains that country's citizenship. If no documentation exists,

you can simply ask a detainee, "Of what country are you a citizen?" If a detainee claims to be a U.S. citizen in response to such a question, you generally can rely on that assertion and assume that CNA requirements are not relevant (be sure, however, to note the detainee's answer in his or her case record). As a rule, and in the absence of evidence to the contrary, you may accept a detainee's self-description as to citizenship, for CNA purposes. Note that all foreign nationals, regardless of their visa or immigration status, are entitled to CNA. There is no reason, for the purposes of consular notification, to inquire about a person's legal status in the United States.

THE SPECIAL RULE

Once you have determined a detainee's citizenship, you should check that country against the list of "special" countries. These are the countries with which we have signed bilateral treaties requiring consular notification regardless of a detainee's wishes.

Foreign nationals subject to the Special Rule should be informed without delay that they have a right to communicate with their consular officials and that, in any event, their consular officials will be notified of their arrest. They may also be told that they are not required to accept the consulate's assistance, but that the consulate may be able to help them obtain legal counsel and may contact their family and visit them in detention, among other things. Suggested

Special Rule Countries – Consular notification required regardless of detainee's wishes

Algeria	Fiji	Mauritius	Tajikistan
Antigua and Barbuda	Gambia, The	Moldova	Tanzania
Armenia	Georgia	Mongolia	Tonga
Azerbaijan	Ghana	Nigeria	Trinidad and Tobago
Bahamas, The	Grenada	Philippines	Tunisia
Barbados	Guyana	Poland (non-permanent resident aliens only)	Turkmenistan
Belarus	Hong Kong**	Romania	Tuvalu
Belize	Hungary	Russia	Ukraine
Brunei	Jamaica	St. Kitts and Nevis	United Kingdom***
Bulgaria	Kazakhstan	St. Lucia	U.S.S.R. ****
China*	Kiribati	St. Vincent & the Grenadines	Uzbekistan
Costa Rica	Kuwait	Seychelles	Zambia
Cyprus	Kyrgyzstan	Sierra Leone	Zimbabwe
Czech Republic	Malaysia	Singapore	
Dominica	Malta	Slovakia	

*Notification is not mandatory in the case of persons who carry "Republic of China" passports issued by Taiwan. Such persons should be informed without delay that the nearest representative of the Taipei Economic and Cultural Representative Office can be notified at their request.

**Hong Kong reverted to Chinese sovereignty on July 1, 1997. U.S. officials are required to notify Chinese officials of the arrest or detention of the bearers of Hong Kong passports.

***British dependencies also covered by this agreement are Anguilla, British Virgin Islands, Bermuda, Montserrat, and the Turks and Caicos Islands. Their residents carry British passports.

****Although the U.S.S.R no longer exists, some nationals of its successor states may still be traveling on its passports. Mandatory notification should be given to consular officials for all nationals of such states, including those traveling on old U.S.S.R passports.

statements to be given to detainees are available in Department of State publications and have been translated into many different languages if the detainee does not speak English.

Privacy concerns or the possibility that foreign nationals may have a legitimate fear of persecution or other mistreatment by their government may exist in some Special Rule cases. The notification requirement should still be honored, but it is possible to take precautions regarding the disclosure of inappropriate information. The treaties do not require — but nor do they prohibit — the provision of information indicating why a foreign national is in detention. Arresting agencies have the option of providing this information. For practical reasons, the foreign consulate will nearly always ask about the nature of the charges against their national. Listing the major or most serious charges on the notification form that is faxed to the foreign consulate may, therefore, avoid a follow-up phone call from the foreign consulate inquiring about the charges. If consular officials insist that they are entitled to information about a foreign national that the foreign national does not want disclosed, the Department of State should be contacted for advice. Finally, under no circumstances should any information indicating that a foreign national may have applied for asylum or withholding of removal be disclosed to that person's government. Specific guidance on such cases may be obtained from the Department of State.

Notification to the nearest consulate should be made as soon as reasonably possible. This is especially important with Special Rule countries because many of the bilateral treaties require notification immediately, or within a narrow time frame. The Department of State would normally expect notification to consular officials to have been made within the first 24 hours of the detention, and certainly within three business days. Pretrial services officials usually come into contact with foreign nationals within this period of time; they should inquire at that time about whether or not notification has been provided. The contact information for every foreign consulate and embassy in the United States is available on the Department of State's website (<http://travel.state.gov/law/notify.html>). The best way to make notification is by using the fax machine, not only because it is available 24 hours a day and is often quicker than phone conversations, but also because it provides a written record for the detainee's case file that CNA obligations were met. A suggested fax sheet is also available in Department of State publications. If you notify in any other way than by fax, make note of the person you spoke to and the time and date of the call. ***Good record keeping cannot be emphasized enough.*** If it is a matter of record that the foreign national detainee was provided consular information, what the detainee's decision was, and when and how consular notification was made, this will greatly facilitate an agency's ability to respond to inquiries from the Department of State and from foreign missions in the United States — and will also enable your agency to defend itself against CNA-related legal challenges.

THE BASIC RULE

If the detained foreign national is a citizen of a country not on the Special Rule list, the requirement is that the foreign national be informed without delay of the option to have his/her government's consular representatives notified of the detention. If the detainee requests notification, a responsible detaining official must ensure that notification is given to the nearest consulate of the detainee's country, also without delay. The requirement to inform or notify without delay is generally understood to mean that there should be no deliberate delay, and that consular information or notification should occur as soon as reasonably possible under the circumstances once you know that the person is a foreign national, or have reason to think that he might be.

CNA in Action: Pretrial Services for the Southern District of New York

Several years ago, the U.S. Attorney for the Southern District of New York realized he had a problem: hundreds of foreign nationals were being arrested and detained in his jurisdiction — but few of them were advised that they could request notification to their consulate. Clever defense attorneys were beginning to raise the issue in the courtroom alleging due process violations. He was increasingly concerned that a judge might decide to exclude evidence or to overturn a verdict because of failures to follow the proper consular notification procedures. Something had to be done.

Lawrence J. Paquette, former Chief U.S. Pretrial Services Officer for the Southern District of New York, recognized that his office could act as a backstop for the consular notification process. In 1998, he spearheaded an effort to ensure that all foreign nationals processed in his district received CNA. The Pretrial Services Office (PSO) "was already asking about citizenship anyway in their initial interviews with detainees," current PSO Chief Dennis Spitzer said, and it usually required very little time to acquire the rest of the information necessary to make notification. Furthermore, all pretrial interviews took place within 24 hours of the arrest — well within the timeframe foreseen for consular notification by the VCCR and other bilateral consular treaties. "Making consular notification became part of our standard procedure," Spitzer said, "and it worked very well."

Recently, because of budget concerns, Spitzer decided to revamp the PSO's CNA process. "We all sat down and agreed that we would put a blurb about consular notification in our standard pretrial reports," Spitzer said. This took the onus off of the PSO, but still ensured that the obligation to make notification in Special Rule cases, and to ask the detainee his or her preference in Basic Rule cases, was made part of the official record. "Making consular notification actually works better now than it did before," Spitzer said, "everyone involved in the courtroom proceedings sees this — the judges, the prosecutors, the clerks of the court." With these controls put in place, the PSO has virtually eliminated CNA problems involving federal detainees in the Southern District of New York.

The PSO's consular notification protocols can serve as a model standard operating procedure for all federal, state, and local courts in the United States. Chances are, some of your agencies are already following the proper CNA procedures, but it never hurts to have a safety net. The Department of State is always available to assist with this endeavor and can provide guidance and direction during the implementation process upon request.

As with the Special Rule, the Department of State provides a written statement that can be used to inform a detainee about consular notification and access. This statement has also been translated into over a dozen other commonly spoken languages. At the end of this statement is the question: "Do you want us to notify your consular officials at this time?" The detainee can then circle "Yes" or "No" at the bottom of the page. If the detainee circles "No," do not inform the consulate. The privacy of the detainee should be respected. If the detainee circles "Yes," make the notification to the nearest consulate without delay. The same suggested consular notification fax sheet for Special Rule countries available from the Department of State publications should be used for Basic Rule countries. Remember that a detainee can request consular access at any time, whether or not the detainee previously requested consular notification or access. Probation and parole officers may receive requests for consular notification from foreign nationals at any point during the detention and should have procedures in place to deal with such requests.

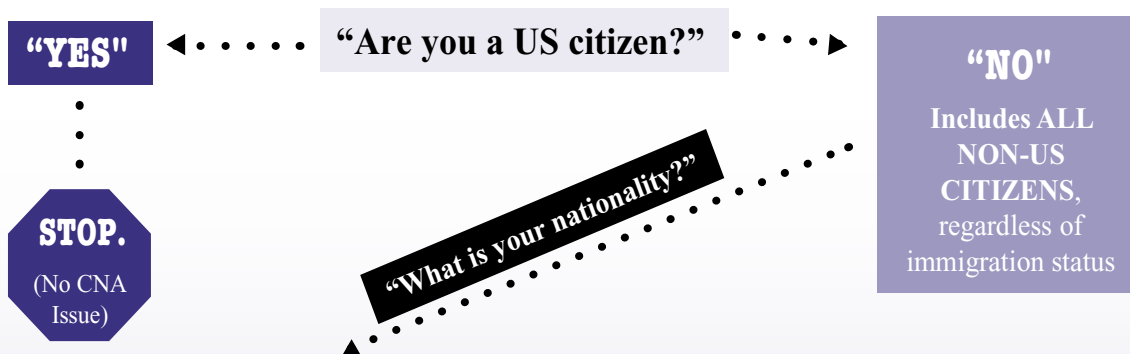
JUVENILE OFFENDERS AND PERSONS LACKING FULL CAPACITY

In the case of minors, if the detained individual is a national of a

Special Rule country, you must provide consular notification as soon as reasonably possible. If the minor is from a Basic Rule country, you should make every effort to locate the individual's legal guardian and, once located, you must ask the guardian whether he/she wants you to notify the consulate of the foreign national's detention. If the guardian requests notification, a responsible detaining official must ensure that notification is given to the nearest consulate or embassy of the detainee's country without delay. If you are unable to locate the individual's legal guardian, it's best to err on the side of caution by making notification to the consulate anyway, unless there is some question as to whether, under the circumstances, notification would be detrimental to the minor (e.g., if the minor is seeking asylum). In these cases, the issue of consular notification should be brought to the attention of the court or other appropriate authorities, which should determine whether notification would be in the best interests of the detained minor. Note that consular notification would be required in any case if the court or other appropriate authority initiates proceedings to appoint a guardian or trustee for the detained juvenile.

In cases where a detained adult foreign national is believed to lack full capacity, you must provide consular notification as soon as reason-

CONSULAR NOTIFICATION PROCESS



If Country is on Special Rule List

1. Inform detainee of his/her right to communicate with consulate, and that you must inform consulate of arrest/detention
2. Inform the nearest consulate **without delay**
3. Make record of notification in case file

If Country NOT on Special Rule List

Inform detainee **without delay** of his/her right to communicate with consulate, and ask: "Do you want your consulate notified of your arrest/detention?"

"NO"

1. Make a note of this in the case file
2. Do NOT inform the consulate

"YES"

1. Make a note in file (or use fax confirmation)
2. Inform consulate **without delay** & note in case file

IN ALL CASES

- Detainee may communicate with consular officer and may request consular access at any time (whether previously declined or not)
- Consulate may have access to detainee regardless of whether detainee requests it
- Do not inform consulate about detainee's refugee or asylum status

Bureau of Consular Affairs, U.S. Department of State, Washington, D.C. 20520
 Ph: 202-647-4415; Web: <http://travel.state.gov/law/notify.html>; Email: consnot@state.gov

ably possible if the individual is a national of a Special Rule country. If consular notification is at the option of the foreign national, you should first determine whether the individual's incapacity is likely to be temporary or likely to last for a significant period of time. If the individual is expected to recover his or her full capacity within 24-48 hours, you should wait until the individual has recovered and then ask whether he/she wants you to notify consular officials of the individual's detention. If the individual requests notification, a responsible official must ensure that notification is given to the nearest consulate or embassy of the detainee's country without delay. If the individual is not expected to recover his or her full capacity within 24-48 hours, pretrial services officers should bring the issue of consular notification to the attention of the court or other appropriate authorities, which should determine whether notification would be in the best interests of the detained individual. Again, consular notification is required in all cases where the court or other appropriate authority initiates proceedings to appoint a guardian or trustee for the detained incapacitated adult.

PAROLEES

Once foreign nationals are paroled, they are free to contact their consular officials on their own and parole officers are under no obligation to notify the consulate of the detainees' release from custody. In cases where the detainee is placed in some type of aftercare or community corrections program (i.e., a halfway house, work-release program, house arrest, etc.), the competent authorities should keep in mind the purpose of the consular notification and access requirements: to ensure that foreign nationals are not placed in situations in which they cannot receive assistance from their own governments. As long as foreign nationals in an aftercare facility or community corrections program have the freedom to contact their consulate and the freedom to leave the facility, work site, or home, there is no obligation for U.S. officials to make notification or to facilitate consular access.

CONCLUSION: SPREAD THE WORD!

Consular notification and access issues have the potential to affect every law enforcement, criminal justice, corrections, and judicial official in the United States. Foreign nationals are everywhere in America these days — in our cities and small towns, on our farms, and in our office buildings. Millions of immigrants and visitors, both legal and illegal, pass through our borders every year. CNA's growing profile and importance is part of the reality of the interconnected world in which we live today.

The Department of State has a robust outreach program to disseminate information about our consular notification obligations. We are here to help with guidance, free policy and training materials, and we actively participate in many law enforcement, corrections and criminal justice conferences and training events to get the word out. Realistically, though, with tens of thousands of federal, state and local agencies across the United States, we can't hope to directly reach everyone, or even most agencies responsible for arresting and detaining foreign nationals. We need your help. We need you to spread the word.

We've created a number of resources for this purpose. First, is the Department's handbook: *Consular Notification and Access: Instructions for Federal, State, and Local Law Enforcement and Other Officials Regarding Foreign Nationals in the United States and the Rights of Consular Officials to Assist Them*. This booklet is intended for su-

pervisors, administrators and people responsible for writing policy and procedural guidance and overseeing training. The Department of State also distributes pocket reference cards, a short training video (perfect for roll-call training), and a CD-ROM containing a variety of instructional resources. All of these materials can be downloaded online at <http://travel.state.gov/law/CNAdownloads.html>. Hard copies can also be ordered free-of-charge at <http://travel.state.gov/law/ordernotificationmaterial.html>.

In almost all cases, there is no need to contact the Department of State about the arrest or detention of a foreign national or to fax duplicate copies of notifications. Nevertheless, it may be appropriate to inform the Department of unusual cases, provided that this is not done in lieu of making the required notification to a foreign consulate. The Department of State understands that there will be times when officials are not quite sure what to do. If you have any questions about the consular notification and access obligations contained in the VCCR or a relevant bilateral consular treaty, we stand ready to help with information and advice. Here's our contact information:

Consular Notification and Outreach Division
Office of Policy and Public Affairs
Bureau of Consular Affairs
U.S. Department of State
Washington, DC 20520
202-647-4415 (phone during normal business hours)
202-647-1512 (phone after hours)
202-736-7559 (fax)
consnot@state.gov (email)
<http://travel.state.gov/law/notify.html> (Web site)

The Department of State encourages and requests all law enforcement and other government officials to circulate information about consular notification throughout their agencies and districts. Training seminars, association meetings and annual conferences are great venues for passing on this very important message to your colleagues. It is crucial that everyone in the criminal justice arena play their part in the CNA process, whether it's actually sending a fax to the consulate, arranging for a consular visit, or simply asking a foreign national detainee if they are aware of CNA. Remember, by complying with our treaty requirements you are upholding the law, you are protecting yourself and your organizations from legal challenges, you are providing an important service to an arrested/detained foreign national, and perhaps most importantly, you are ensuring that U.S. consular officers have the grounds to insist upon fair and equitable treatment for American citizens in trouble overseas. ■

A. Bruce Ammerman is the Chief and James A. Lawrence is a Public Affairs Specialist at the Consular Notification and Outreach Division at the Office of Public Affairs and Policy Coordination, Bureau of Consular Affairs at the U.S. Department of State in Washington, DC.



Systematic Reviews¹

BY ANTHONY PETROSINO, PH.D.



research review is an article that summarizes a number of different primary studies such as experiments and other evaluations. Although research reviews can be done with many types of studies, they are most common in criminal justice in reviewing evaluations to determine “what works.”

Research reviews to determine “what works” in areas like correctional rehabilitation, including the effectiveness of parole or probation, have been influential in United States justice policy. From Robert Martinson’s brisk summary² of the larger Effectiveness of Correctional Treatment³ to the University of Maryland Report to the U.S. Congress on Crime Prevention,⁴ decision-makers have looked to researchers for help in making sense of a large, fragmented and often conflicting knowledge base to inform them on “what works.”⁵ These reviews have often been very influential. For example, Martinson’s paper is probably the most widely cited article in corrections, while the New York Times called the Maryland Report the “most comprehensive study ever on crime prevention.”⁶ Criminologists Cullen and Gendreau have discussed in various papers how the Martinson review was used by both political conservatives and liberals to reject rehabilitation as a guiding philosophy for American sentencing and correctional policy.⁷ The University of Maryland report was prominently used, interestingly enough, outside the U.S. by England in developing its Crime Reduction Programme.

Despite the prominence of reviews in American and international criminal justice policy, the methods of bringing together separate but similar studies and drawing conclusions has been the subject of considerable improvement over the past 30 years or so. In short, research reviews have become more scientific, structured, explicit and transparent in their methods and reporting, in order to reduce potential for bias.⁸ In other words, more reviews are now systematically done. And this is only right – we should, as consumers of research, accept nothing less from research reviews that we demand from primary research such as experimental evaluations and probability surveys.

The importance of systematic reviews is underscored by the many efforts developed over the past few years by organizations to develop infrastructures to produce them on a wide range of topics. These efforts include reviews on prevention by the U.S. Centers for Disease Control’s Community Task Force,⁹ and reviews in a multitude of areas conducted by the United Kingdom’s Evidence Network.¹⁰ In 2000, the international Campbell Collaboration was launched to prepare, update and disseminate systematic reviews in social and educational intervention.¹¹ The Campbell Collaboration’s Crime and Justice Group is currently working on a portfolio of about 40 titles, that in due course, could become a reservoir of evidence-based knowledge for decision-makers in criminal justice.¹²

Given the important of research reviews to determine “what works” in areas like offender rehabilitation, it is critical that policy and practice decision-makers in criminal justice become familiar with this approach to synthesizing literature. This paper provides an overview of systematic reviews and meta-analyses, including their rationale, how they are different from other types of reviews, and the stages of the best such syntheses in the literature.

RATIONALE *Identifying and “what works”*

Many things influence our decisions about the programs, policies

or practices we should implement to prevent crime and delinquency or to improve the criminal justice system. For example, we may find that certain policies cannot be implemented because they pose ethical problems. Or we may find that the political and ideological climate favors one approach to dealing with offenders over another.

A concern long expressed by researchers, funding agencies and others is that the best research evidence available would also have input into those decisions. In other words, we should learn “what works” by examining carefully done studies that have tested particular strategies relevant to crime prevention, offender treatment or management of the courts. But how do we learn “what works?”

Single study versus many studies

One approach to learning “what works” and making relative judgments about the effectiveness of justice-related strategies is to rely on the results of a single study. But this poses some problems. Sometimes we have to act upon the results from a single study to make judgments about “what works” because that is all the research evidence available. But with each succeeding study, such an approach becomes more problematic. For example, if only one study has been conducted and we rely upon it, then we are relying on 100 percent of the empirical evidence. But if five studies have been conducted, using only one study means we are relying upon only 20 percent of the available research evidence to draw our conclusions. With 20 studies conducted, we rely on only 5 percent of the available research, and so on. Further jeopardizing our conclusions is the very human tendency to rely upon the most recent study or one that was heavily publicized or “famous.”

Another complication is that not all the relevant evidence in the form of original studies is easily available. Some research is published in obscure journals, government documents, dissertations, conference papers, technical reports and so on that is often referred to as the “grey” or “fugitive” literature because it can be difficult to identify and retrieve. But such studies are also part of the evidence we would need to consider. In addition, there may be some real differences between the results found in peer-reviewed journals and those reported outside of the journals. One way to counter this possibility is to include all studies meeting certain minimum levels of methodological quality (and other criteria), regardless of whether they are published or not.

Separate but similar studies

Aware of these and other problems, researchers, funding organizations and government agencies have long recognized the problem with making summary judgments about “what works” from a single study when other similar studies are available. It is one of the reasons why there is a long history, in criminal justice, of trying to pull together the scientific evidence from these separate but similar studies into a single review.

In fact, reviews of research on “what works” can be found at least back to the 1950s in delinquency prevention.¹³ Since then, and in growing numbers, reviewers have attempted to gather the available evaluative studies, study and analyze them in some fashion, and report on what they collectively reveal about “what works.”

Different types of reviews

We note that making relative judgments about “what works” is one type of review. Researchers may have another goal in mind when they examine and draw conclusions from separate but similar studies.

Of course, nearly every paper or report has some type of literature review guiding the reader to the point where the rationale for the paper in hand is understood. But here we are only focusing on papers or reports in which the entire work is focused on a “review.”

For example, researchers may conduct “critical reviews.” They will use the available studies to highlight certain important issues in a topic area. For example, Robert Ross and M.J. Price critically reviewed research on behavioral modification programs.¹⁴ They drew upon existing studies to highlight important issues about such treatment, including effectiveness, client characteristics, institutional management, and so on. The main goal of their paper was to use the existing evaluations to highlight the issues. Sometimes these critical reviews can be very comprehensive and include a lot of literature. Such is the case with some of the papers published by periodicals like the Annual Review of Public Health, or the Annual Review of Sociology.¹⁵ In criminal justice, a review series known as Crime and Justice: An Annual Review of Research is almost always comprised of these kind of reviews.¹⁶ Some of the reports issued by the National Academy of Sciences are the most comprehensive critical reviews of issues in an area.

Another purpose for reviews of separate but similar studies is to provide the “state of the art.” This often takes the form of a brief summary of recent research and advances in dealing with a problem. David Farrington provided an example of a state-of-the-art review in the area of early developmental and childhood prevention.¹⁷ He used different evaluation studies to show that programs that featured components like visiting the homes of expectant mothers from impoverished areas can be beneficial. In short, such reviews inform us about recent program victories or failures.

We should not diminish the value of conducting critical or state-of-the-art reviews. But systematic reviews are the ideal types of reviews in making the least biased statements about evidence regarding the effects of interventions relevant to social and educational interventions, including crime. In short, the most rigorous reviews on “what works” will be systematically done.

“WHAT WORKS” REVIEWS

On some occasions, researchers conducting critical or state-of-the-art reviews will include a statement about effectiveness. But generally they are not designed to produce definitive answers about “what works.”

Instead, when researchers have tried to produce such answers,

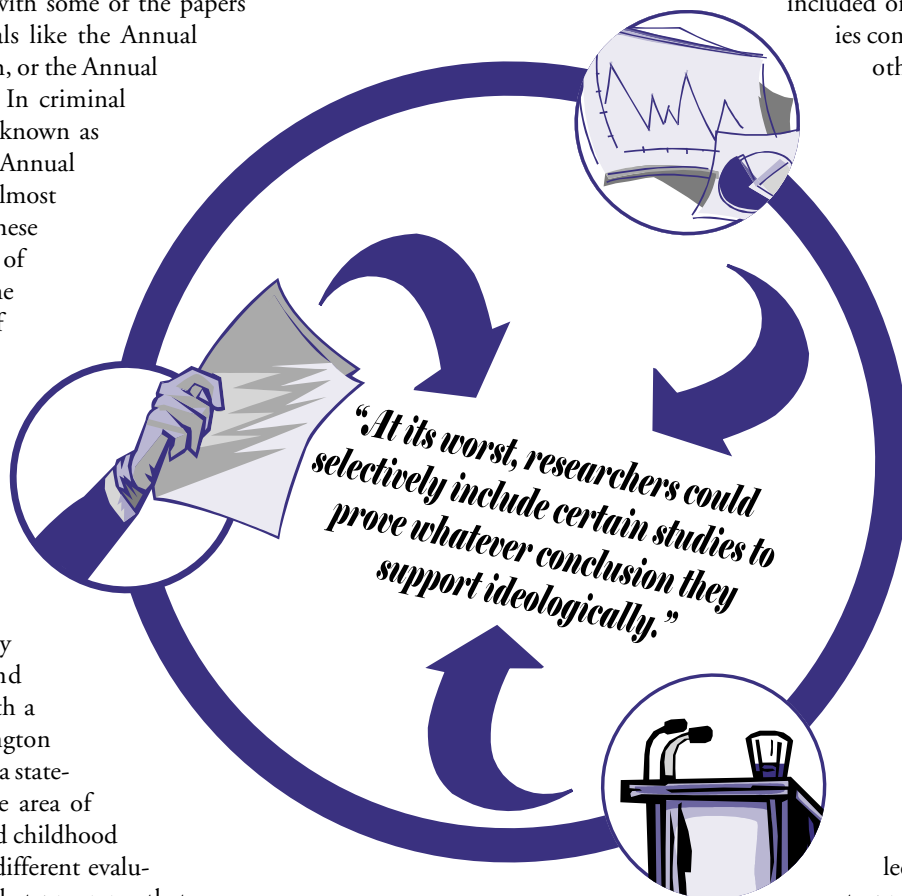
they have generally focused on collecting available reports of evaluations that tested a particular program, policy or practice “worked.” From this collection, they draw summary conclusions. Over time, “what works” types of reviews have two distinct patterns of methodology: (1) traditional and narrative methods and (2) systematic and quantitative methods.

TRADITIONAL METHODS AND THEIR PROBLEMS

Traditionally, researchers who reviewed “what works” collected evaluative studies and reported on them in narrative fashion. The first problem in using these traditional methods is the lack of transparency that prevented readers from understanding the methods involved. Why were certain studies included or excluded? Were some studies considered more important than others were? Why? How were certain conclusions reached? In other words, the lack of explicitness or detail about the methods left many unanswered questions about the trustworthiness of the conclusions.

A long history of research has showed that traditional reviews of “what works,” in which researchers make relative judgments by reading reports and using an inexplicit process of reasoning, does increase potential for bias. At its worst, researchers could selectively include certain studies to prove whatever conclusion they support ideologically. But even with good intentions, the results in the reviews could be misleading.

A second problem has to do with the assessments made by reviewers of the individual studies. The very best traditional methods for reviewing “what works” relied heavily on whether the original study reported that the program, policy or practice under investigation had a “statistically significant” effect. Demonstrating whether something was statistically significant is part of the established norms for reporting science. But the problem with relying on statistical significance is that whether it occurs or not is dependent on several other factors other than the effectiveness of the treatment. For example, sample size is a very influential factor in whether a certain finding is statistically significant. A general rule is that the more participants in the study, the more likelihood that something will be statistically significant. A study with thousands of participants may report very small differences as statistically significant even though the actual difference is so small



that it is for all practical purposes, trivial. More common, however, is that with small samples of participants, a large and important effect for a program will be ignored because the results were not statistically significant. It may be that many promising programs or treatments were discarded prematurely because of this problem.

THE SCIENCE OF REVIEWING

There is a history of nearly 100 years of researchers trying to systematically gather and analyze separate but similar studies. But the “science of reviewing” really emerged with the advent of meta-analysis - or the use of quantitative methods to analyze the results of prior research. In his 1997 book, science writer Morton Hunt showed how the results from meta-analysis contradicted the conclusions drawn by earlier reviewers using traditional methods.¹⁸ For example, he writes that quantitative estimates from meta-analyses of correctional treatment studies consistently show small, positive effects for intervention on recidivism. These findings contradicted findings from some of the earlier, negative reviews. One of the reasons that meta-analyses came to different conclusions is that it took into account the actual “size of the effect” reported in the study, and downplayed statistical significance.

Certainly, the methods for meta-analysis led reviewers to rely on the actual effect or size of the effect in individual research reports. But more importantly, the methods of meta-analysis forced reviewers to be more explicit about every stage of their reviews in subsequent reports. The major themes from the development of a science of reviewing and meta-analysis are:

- Reviewers should make each stage of their review transparent and explicit so that others could understand how the review was conducted and how conclusions were reached
- Reviewers should use the best methods available to minimize potential biases at each stage of the review, from searching for studies to analyzing the data
- Reviews should be described in detail and reported with the thoroughness that characterizes first-rate reports on primary research studies

SYSTEMATIC REVIEWS

Terminology

Because statistical analysis may not be necessary or appropriate in every review, the term “systematic reviewing” has been used to cover research reviews in which rigorous methods are employed regardless of whether meta-analyses are undertaken to summarize the size of the effect reported in prior studies. For example, researchers may undertake a review of research in a particular area and use the best methods available to find studies meeting their criteria, but find very few. Under such circumstances, it may not be appropriate to conduct a meta-analysis to statistically summarize the findings from those studies. But the review is still a systematic one.

In addition, not every review that uses quantitative methods - or meta-analysis - is done or reported very systematically. In other words, its lack of explicitness on methods may rival the earlier traditional reviews, but because it provides quantitative estimates of program effects, it is called a meta-analysis.

One general rule for describing systematic reviews is that they usually include a methodology and results section. Inexplicit reviews will generally not include such sections. Generally it is useful to distinguish between systematic reviews and meta-analysis in the following way:¹⁹

Systematic Review: A review of the evidence on a clear formulated question that uses systematic and explicit methods to identify, select and critically appraise relevant primary research, and to extract and analyze data from the studies included in the review. Statistical methods (meta-analysis) may or may not be used.

Meta-Analysis: The use of statistical techniques to combine the results of studies addressing the same question into a summary measure.

STAGES OF A SYSTEMATIC REVIEW

Systematic reviews emphasize explicitness and transparency, and the use of methods to minimize bias in coming to conclusions about “what works.” We might consider that most reviews will range on a continuum, with the most explicit work including the following stages:²⁰

1- Framing the Question for Systematic Review. Like solid primary studies, a good question is needed to frame the research review. Generally, the more focused and specific the question is, the more appropriate it will be for a systematic review. “Does ‘Scared Straight’ and other juvenile awareness programs reduce subsequent delinquency?” is the kind of question that can be responded to by systematic review.

2- Developing explicit criteria for studies to be eligible for the review. Every systematic review should have a set of rules that determine what studies are in and what studies are out. These need to be made explicit so that readers know why one evaluation was in, but another was left out.

3- Undertake search strategies to reduce potential for bias. As aforementioned, there is potential for bias to creep in depending on the “bundle” of studies we end up with. For example, there may be differences in the results of studies that are published by peer-review journals versus those that are not. A focus on one to the exclusion of the other could potentially bias the results in a certain direction. Systematic reviews use search strategies designed to produce the most comprehensive set of studies possible. The number of strategies that review teams can use, particularly with the Internet and other information technology advances, is quite impressive. The goal in systematic reviewing is to find the full population or universe of studies that meet the criteria for being included, regardless of whether they are published or not. We hope by doing so that our findings are robust, i.e., that one or two missed studies (lost forever within the files of researchers) will not change the results.

4- Screen each possibly relevant study against the eligibility criteria and justify exclusions. The search methods will likely develop citations to a number of evaluations that are potentially eligible for the review. The review team will then acquire those documents. At this stage, the review team double-checks to make sure that the evaluation does, in fact, meet the eligibility criteria. Exclusions at this stage should be listed, with the reason why, in the final report.

5- Extract information from each study report and create the most complete data set possible. For each eligible study, the review team extracts or codes information using a specially designed instrument. This data is then entered into a computer software program for analysis. In most reviews, each study is a distinct case in the database. So, a review of 100 studies will have a database with 100 cases.

6- If appropriate, use meta-analysis to estimate main effects. In some cases, it will be inappropriate to use meta-analysis. For example, when only a few studies are found meeting the eligibility criteria. But in the vast majority of cases, quantitative analysis will be used. In “what works” reviews, the researchers will create a “common metric” to rep-

resent the impact of the treatment or intervention for each study. In a review of experimental evaluations, “effect size” is often used. This is a standardized measure of the difference between the experimental and control groups. In crime studies, if it is positive, it means that treatment worked and reduced offending relative to a control group; conversely, if it was negative, it means the treatment failed and the control group did better. By creating this effect size for each study, an overall main effect for the intervention under investigation in the review can be reported. In a database of 100 studies, there usually will be 100 effect sizes, with each individual study represented by an effect size. These can be averaged across the 100 studies.

7- *If appropriate, use meta-analysis to understand the influence of study factors and reasons for variability across studies.* It is easy to see now how effect size can be used in further analyses by the review team. By establishing a common metric, investigators can see if any factors about the treatment or study influence whether effect size goes up or goes down. It is usually not the case that effect size is the same for all studies everywhere, but usually varies, and sometimes the range is wide. Meta-analysis, if used right, can help understand what factors are responsible for this wide variability.

8- *Write a report that is explicit about the review including all decisions made.* It makes little sense to conduct a carefully done review unless the final report is also done with good attention to detail. This report, whether published in print or made available electronically, ought to detail all of the stages discussed in stages 1-7 and also make explicit every decision made by the review team. It is this explicitness that allows science to test, replicate, and build upon prior research.

Most systematic reviews at the upper end of the quality continuum will include steps 1-5 and 8. If the data warrant quantitative analysis, then such reviews will also include steps 6 and 7. Readers who are interested in learning more about the statistical methods of meta-analysis can find a number of texts on the topic.²¹

CONCLUSION

Researchers have long lamented that decision-makers do not concern themselves with the scientific evidence before making difficult choices about what to do next. Government policymakers and practitioners should feel an ethical obligation to take into account the best scientific summaries of research before making choices that impact citizens they serve. In this paper, we have presented the rationale for systematic reviews and an overview of the stages in the process. It is my hope that readers of Perspectives will be better informed about such methods, as both consumers and potential funders of this kind of research.

But criminologists also have an ethical obligation to produce the very reviews that decision-makers require. Thankfully, we are now armed with an arsenal of improved methods to get the job done.

ENDNOTES

A version of this paper was prepared for the Campbell Crime & Justice Group

Interim Steering Group Meeting, Paris France, 24-25 May 2000. Supporting materials for the paper were also developed for the American Society of Criminology workshop, “Systematic Reviews I: The Basics.”

² Robert Martinson. 1974. “What Works? Questions and answers about prison reform. Public Interest 10:22-54.

³ Douglas Lipton, Robert Martinson and Judith Wilks (1975). The Effectiveness of Correctional Treatment. New York: Praeger.

⁴ Lawrence W. Sherman, Denise Gottfredson, Doris MacKenzie, John Eck, Peter Reuter and Shawn Bushway. 1997. Preventing Crime: What Works, What Doesn't, What's Promising. A Report to the United States Congress. College Park, MD: University of Maryland, Department of Criminology and Criminal Justice.

⁵ See Anthony Petrosino, David P. Farrington, and Lawrence W. Sherman, 2003, “Special Report: The Campbell Crime and Justice Group: Early Development and Progress,” Journal of Offender Rehabilitation, 38 (2).

⁶ See website at www.preventingcrime.org.

⁷ Francis Cullen and Paul Gendreau, 2000, National Institute of Justice.

⁸ David P. Farrington and Anthony Petrosino, 2000, “Systematic Reviews of Criminological Interventions: The Campbell Collaboration Crime & Justice Group,” International Review of Criminology

⁹ See their website at

¹⁰ See www.evidencenetwork.org.

¹¹ See www.campbellcollaboration.org.

¹² See www.aic.gov.au/campbellcj.

¹³ See Bernard C. Kirby, Sociological Research and Methods.

¹⁴ Ross, Robert R. and M.J. Price, 1976, “Behavior modification in corrections: Autopsy before mortification,” International Journal of Criminology and Penology 4:305-315.

¹⁵ See website at www.annualreviews.org.

¹⁶ See website at www.castinereasearch.org.

¹⁷ David P. Farrington, 1994, “Early developmental prevention of juvenile delinquency,” Criminal Behaviour & Mental Health, 4(3), 209-227.

¹⁸ Morton Hunt, 1997, The Story of Meta-Analysis, NY: Russell Sage.

¹⁹ From Khan, Khalid S., Gerben ter Riet, Julie Glanville, Amanda Sowden, and Jos Kleijnen, 2001, Undertaking Systematic Reviews of Research on Effectiveness, CRD's Guidance for those Carrying Out or Commissioning Reviews. CRD Report Number 4 (2nd Edition). York, UK: York Publishing Ltd.

²⁰ *Ib id.*

²¹ See, for example, Frederic M. Wolf, 1986, Meta-analysis: Quantitative Methods for Meta-Analysis, Beverly Hills, CA: Sage Publications, and Mark Lipsey and David Wilson, 2001, Practical Meta-Analysis, Newbury Park, CA: Sage Publications. □

Anthony Petrosino, Ph.D. is a Research Consultant and Coordinator at the Campbell Collaboration Crime and Justice Group in Nashua, NH.

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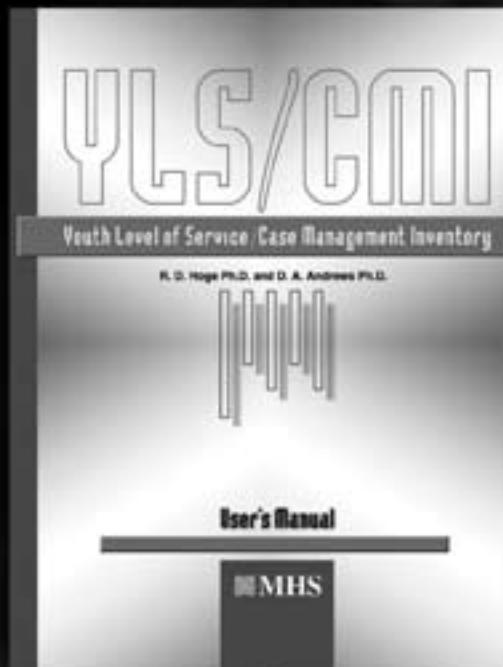
2005

April 21-23	Forum on Best Practices in Staff Development, Hammond, LA. Visit www.NPJS.org for more information.	July 24-27	APPA's 30th Annual Training Institute, Marriott Marquis, New York, New York. Contact Kris Chappell at (859) 244-8204 or kchappell@csg.org for more information.
April 21-23	NPJS Forum on Best Practices in Staff Development, Hammond, LA. Contact (859) 622-6259 or email npjs@eku.edu for information.	July 25-28	Association of Paroling Authorities International Parole Board Professional Development Training, Kansas City, MO. Contact Gail Hughes at (573) 796-2113 or visit www.apaintl.org for more information.
April 24-27	Association of Paroling Authorities International 2005 Annual Training Conference, Marriott Harbor Hotel, Baltimore, MD. Contact Gail Hughes at (573) 796-2113 or visit www.apaintl.org for more information.	Aug 6-10	American Correctional Association 135th Congress of Correction, Baltimore, MD. Contact Conventions Dept. (800) 222-5646 x-1922 or visit www.aca.org .
April 26-30	2005 National Conference: Fostering Careers in Law, Public Safety, Corrections and Security, Wyndham Westshore, Tampa, Florida. Send an email to jnc11@msn.com attn: Pat hicks, Registrar and request the conference information. Website at http://www.ncn-npcps.com	Aug 29-31	Association of Paroling Authorities International Hearing Officer/Parole Staff Training, Kansas City, MO. Contact Gail Hughes at (573) 796-2113 or visit www.apaintl.org for more information.
May 1-4	Corrections Technology Association 2005 Conference, Rosen Plaza Hotel, Orlando, FL. Visit www.corrections.com/cta for more information.	Sept 16-21	10th International Conference on Family Violence, Town and Country Hotel and Convention Center, San Diego, CA. Visit www.fvsai.org or email fvconf@alliant.edu for more information.
May 9-17	Summer Peacebuilding Institute of the Conflict Transformation Program (CTP) at Eastern Mennonite University (EMU) in Harrisonburg, Virginia. Visit www.emu.edu/spi for more information.	Oct 2-5	International Conference on Distracted Driving. For more information send your contact information (name, organization etc.) with your email address to: tirf@traffcinjuryresearch.com .
June 3-8	17th Annual National Juvenile Services Training Institute, Sheraton Hotel and Suites, Indianapolis, IN. Visit www.NPJS.org , contact (859) 622-6259 or email npjs@eku.edu for more information.	Oct 8-11	7th National Conference on Preventing Crime: Power of Prevention, Hilton Washington, Washington, DC. For more information visit www.ncpc.org/ncpc/ncpc/?pg=5882-7518-4856 .
June 4-8	Middle Atlantic States Correctional Association Conference, "One Vision, One Mission, One Team," Hershey Lodge and Convention Center Hershey, PA. For more information on the Hershey Conference, log onto http://www.masca.20m.com/	Oct 16-19	11th Joint Conference on Juvenile Services, Richmond, VA. Visit www.NPJS.org for more information.
June 27	Association of Paroling Authorities International New Parole Board Member Training, Kansas City, MO. Contact Gail Hughes at (573) 796-2113 or visit www.apaintl.org for more information.	Nov 2-5	24th Annual Association for the Treatment of Sexual Abusers Research and Treatment Conference, Sheraton New Orleans, New Orleans, LA. Visit www.atsa.com for more information.

To place your activities in Calendar of Events, please submit information to: Darlene Webb
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will be verified. You are required to pay the regular registration fee if your agency is not a current APPA agency member.

Registration Procedures

By Mail – Registration for the APPA Institute can easily be done by mail. Just send your check, government purchase order or credit card information with your completed APPA registration form to the address shown on the form. All registrations postmarked by July 8, 2005 will receive written confirmation.

By Fax – For your convenience, when payment is by credit card, you may fill out the APPA registration form and fax it to: (859) 244-8001, Attention — APPA Institute. All registrations faxed by July 8, 2005 will be confirmed by mail.

Internet – Register for the APPA Institute on-line at www.appa-net.org

Payment

Payment in full for all Institute activities must accompany your registration form. Check, money order, VISA, Master Card or American Express are accepted as payment for the Institute's registration fees. Checks must be made out to the American Probation and Parole Association and payable in U.S. dollars. Payments received in Canadian dollars will be invoiced for the conversion difference plus a \$10 service fee. Registrations postmarked on July 6, 2005 or later are not eligible for the early registration fee and must include the regular registration fee. Agencies required to use a purchase order should submit the registration form with the purchase order in lieu of a check. Invoicing will be processed immediately upon receipt of the purchase order and, in all cases, payment will be due immediately.

Cancellation/Refund Policy

A full refund, less a \$50 processing fee, is available until July 5, 2005. No refunds are available after July 5, 2005. In order to receive a refund, written requests must be sent to the APPA Institute, c/o The Council of State Governments, P.O. Box 11910, Lexington, KY 40578-1910 or faxed to (859) 244-8001. All requests for refunds must be postmarked or faxed by July 5, 2005. Registrations are not transferable.

Important Dates to Remember:

July 5	Last day to take advantage of early bird registration rates.
July 5	Deadline for registration fee refund.
July 24	Institute activities begin.

Directory

Institute Registration	(859) 244-8204
Resource Expo	(859) 244-8205
New York Marriott Marquis Hotel	(800) 843-4898
Sightseeing Information	www.iloveny.com www.nycvisit.com
APPA Web Site	www.appa-net.org



Registration Form

APPA 30th Annual Training Institute • July 24-27, 2005 • New York, NY

Please use a photocopy of this form for each registrant. Please print clearly.

Last Name: _____ First Name: _____

Title: _____ Agency/Organization: _____

Business Telephone: _____ Business Fax: _____

Address: _____

(location where confirmation should be sent)

City: _____ State: _____ Zip: _____

Email Address: _____

Registration Fees

<i>Includes general sessions, exhibit receptions and workshops. (All fees are per person.)</i>	Early Rate Before July 5	On or After July 6	Amount
Member of APPA or co-sponsoring Assn. To qualify for this rate you must be a member of one of the following (please mark those that you hold current membership in) <input type="checkbox"/> APPA Member - Please indicate your membership category and your membership number. <input type="checkbox"/> Individual member <input type="checkbox"/> Agency member Membership # <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Expiration Date <input type="text"/> <input type="text"/> — <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="checkbox"/> NY State Probation Officers Association <input type="checkbox"/> NY State Council of Probation Administrators	\$315	\$360	\$ _____
Non-member If you are not a member of APPA or of the co-sponsoring associations, you are required to pay the regular registration fee. Memberships will be verified.	\$375	\$420	\$ _____
Single Day Registration Single Day Registration ends July 5. Single day registration includes all sessions, workshops, luncheon and exhibit hall entrance for selected day. Must select day: <input type="checkbox"/> Monday, July 25 <input type="checkbox"/> Tuesday, July 26	\$210	N/A	\$ _____
APPA Accredited Contact Hours	\$10	\$10	\$ _____
Intensive Sessions Available only to registrants of Institute. Attendance at intensive sessions only is not permitted. Specify Intensive Session # _____ (see page 6 for list of Intensive Sessions)	\$30	\$30	\$ _____
Family Registration This rate is available to immediate family members not employed in the corrections field. Allows entry into general sessions, exhibit receptions and workshops. Luncheon is not included. Specify Family member's name _____	\$75	\$75	\$ _____
Luncheon Ticket (July 26) One luncheon ticket is included in full registration. Registration fee for family members does not include a luncheon ticket	\$75	\$75	\$ _____
APPA Membership One year of individual membership. <input type="checkbox"/> New Member <input type="checkbox"/> Renewal	\$50	\$50	\$ _____ 61-16-00-1000-4020
Grand Total Enclosed			\$ _____ 61-16-00-2068-4401
Is this your first attendance at the APPA Institute?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Please indicate the number of years worked in Community Corrections	<input type="checkbox"/> 9 or less	<input type="checkbox"/> 10-24	<input type="checkbox"/> 25+ years

Payment

☐ Check Enclosed ☐ Government Purchase Order Enclosed; PO # _____

Charge to: ☐ VISA ☐ MasterCard ☐ American Express

Card Number: _____

V code: _____ Expiration Date: _____

(3 digit code located in the signature line on the back of the card immediately following credit card number)

Signature: _____ Date: _____

Special Assistance

☐ Please check if you require special provisions to fully participate in this Institute. Attach a written description of needs.

Confirmation/Refund Policy

A full refund, less a \$50 processing fee, is available until July 5, 2005. No refunds are available after July 5. In order to receive a refund, written requests must be sent to the APPA Institute, c/o The Council of State Governments, P.O. Box 11910, Lexington, KY 40578-1910 or faxed to (859) 244-8001. All requests for refunds must be postmarked or faxed by July 5.

Mail this form to:

APPA Institute
c/o The Council of State Governments
P.O. Box 11910, Lexington, KY 40578

or Fax to:

(859) 244-8001

or register online at www.appa-net.org

To better plan Institute workshops and activities, please supply us with the following information.

Job Jurisdiction

- ☐ Federal
- ☐ State
- ☐ County
- ☐ City
- ☐ Private firm/business
- ☐ Academic Institution
- ☐ Province
- ☐ Nonprofit organization
- ☐ Other _____

Primary Work Area

- ☐ Juvenile Probation & Parole
- ☐ Adult Probation & Parole
- ☐ Adult Probation
- ☐ Adult Parole
- ☐ Juvenile Probation
- ☐ Juvenile Parole/Aftercare
- ☐ Residential
- ☐ Non - Residential
- ☐ Treatment Provider
- ☐ Academia
- ☐ Other _____

Length of Experience in Corrections

- ☐ Less than 2 years
- ☐ 2-5 years
- ☐ 6-10 years
- ☐ 11-15 years
- ☐ 16-20 years
- ☐ 21-25 years
- ☐ More than 26 years

Highest Level of Education

- ☐ Graduate Equivalency Diploma (GED)
- ☐ High School Diploma
- ☐ Associate's Degree
- ☐ Bachelor's Degree
- ☐ Master's Degree
- ☐ Doctorate

Geographical Area

- ☐ Urban (pop. over 50,000)
- ☐ Rural (pop. under 50,000)

Gender

- ☐ Male
- ☐ Female

Professional Category

- ☐ Line Personnel
- ☐ Commissioner/Director/Chief
- ☐ Administrator
- ☐ Consultant
- ☐ Trainer
- ☐ Parole Board Member
- ☐ Judge
- ☐ Attorney
- ☐ Educator/Researcher
- ☐ Private Sector/Corporate
- ☐ Retired
- ☐ Student
- ☐ Other

Race/Ethnicity

- ☐ African American
- ☐ Caucasian
- ☐ Hispanic
- ☐ Native American
- ☐ Asian
- ☐ Other

Mark all Expenses that are Reimbursed

- ☐ Registration
- ☐ Travel-Air
- ☐ Travel-Ground
- ☐ Meals

Mark Past Attendance at APPA Annual Institute

- ☐ First Time
- ☐ 2-4
- ☐ 5-6
- ☐ 7-9
- ☐ 10 or more

APPA Federal ID # 56-1150454

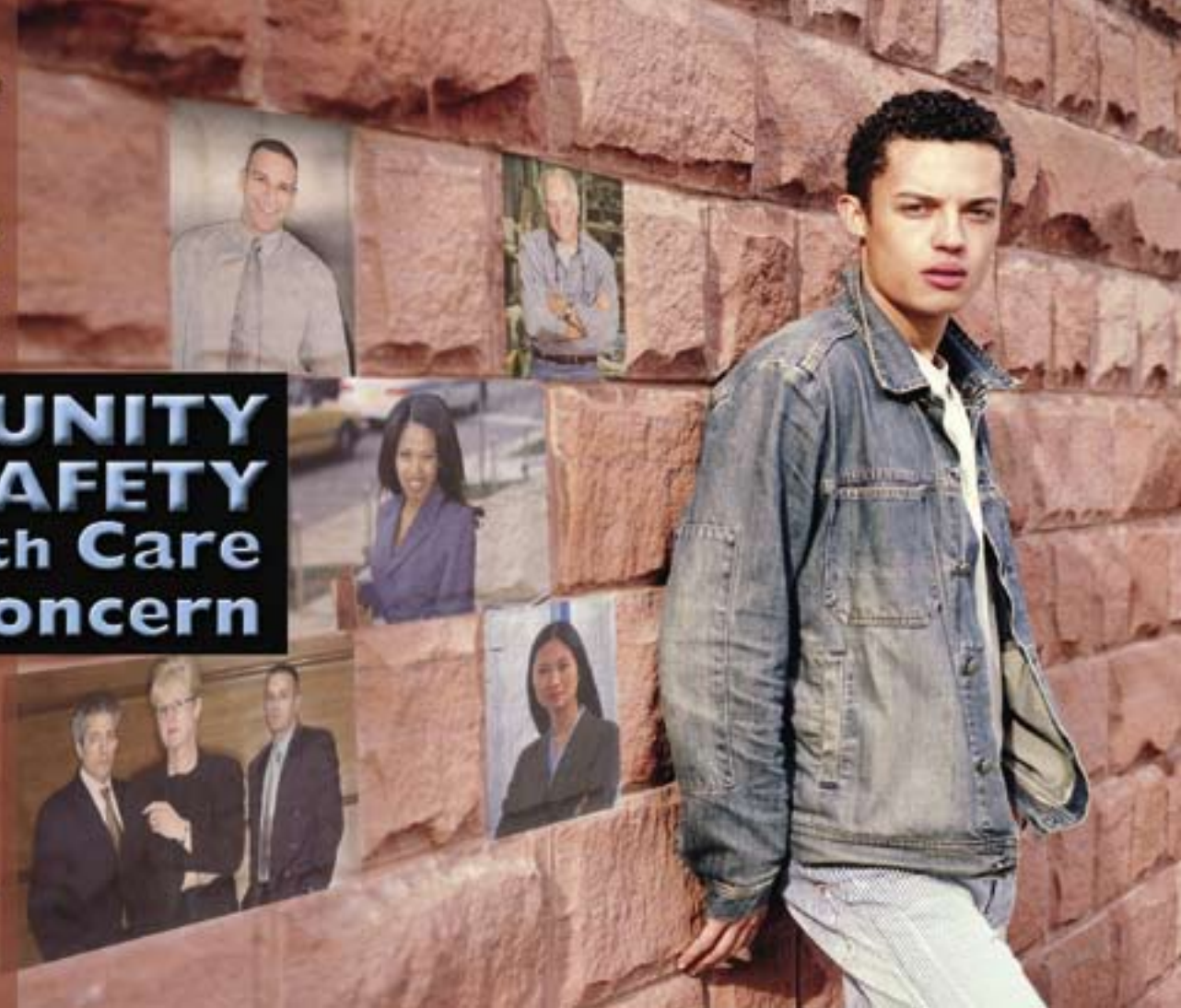
Probation, Parole
and Community
Supervision Week

July 17-23, 2005

COMMUNITY SAFETY with Care and Concern



American Probation
and Parole Association
859-244-6196
www.appa-net.org



American Probation and Parole Association
c/o The Council of State Governments
P.O. Box 11910
Lexington, KY 40578-1910

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