

the journal of the American Probation and Parole Association



Volume 32

Number 1

Winter 2008

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# President's Message

Gary Hinzman

I would like to begin by recognizing and thanking the program committee and APPA staff for the resounding success of the 32nd Annual Training Institute. The quality of the programs at our Institutes in large part identifies APPA as one of the nation's premier professional organizations. Additionally, it is important to recognize the local host committee which provided vital support for the Institute and tirelessly helped attendees feel welcome in Philadelphia.

I also want to recognize the countless number of dedicated APPA members who often arrive at the Institute early to fulfill their commitments by serving on the various APPA committees. The dedication to provide their expertise and to be part of the driving force behind APPA is truly admirable.

Our committee structure at APPA is evolving to allow for greater member participation and to be more action oriented. Committees will now be meeting six times each year to facilitate greater discussion and ongoing communication. In addition to a face-to-face meeting at each of the two yearly Institutes the committees will also teleconference twice between each Institute. This will be a real benefit to committee members who want to actively participate but cannot always travel to the Institutes. This expanded involvement will give APPA ongoing fresh views and thoughts and a continuity of purpose. There is no doubt that good work can be completed by our members working on the APPA committees by providing rich, diverse and professional insights for our organization and we should use this expertise to our greatest capacity. Their work helps drive our effective practice and provides leadership around policy and practice issues. To that end, I will be asking each committee to identify one or more focus areas or periodic themes to work on. For example the Diversity Committee may choose a topic like over-representation of minorities in the corrections system or the development of cultural competencies.

Another aspect of the Annual Institute held in Philadelphia that I had a particular interest in was the international training track which was co-sponsored by APPA and the National Association of Probation Executive (NAPE). It is important to recognize and thank our cohorts at NAPE, especially NAPE President Rocco Pozzi and their Executive Director Christie Davidson. I also want to once again acknowledge Don Evans for his tireless efforts supporting both organizations' international outreach. As the chair of the APPA International Committee, Don facilitated an event in which Steve Murphy, Deputy National Offender Manager for the United Kingdom provided commentary on trends in European probation.



I was also pleased to work with Don to present a roundtable discussion with our affiliate organization in Poland WSKS, the Probation Officers Association of Wielkopolska. WSKS President Piotr Burczyk led a team of probation officials, judges, professors and officials from the Ministry of Justice. This included Irena Szostak, Chief Probation Officer in Poznan; Krystyna Lyszkowska, Deputy Chief in Gdansk; probation officers Bozenka Bilska, Jan Michalski, Anna Mulinska, Ewa Wozne Plusa, Dorota Wroblewska, and Elzbieta Sawicka; Judges Piotr Hejduk and Michal Laskowski from Poznan; professors Wieslaw Ambrozik and Piotr Stepniak from Adam Mickiewicz University; and Krzysztof Mycka and Slawomir Palka with the Polish Ministry of Justice. The Polish Officials spoke on the evolution of probation since Poland became a democracy. In addition to visiting Philadelphia, the delegation from Poland was also able to travel to New York City, Chicago and Iowa to visit corrections programs and work with probation officials in those respective locations. I appreciate the outstanding cooperation that those local departments and their leaders displayed. The members of the Polish delegation deserve to be recognized for their professionalism and the rich traditions of their country. I thank them for sharing their time with us.

*Continued, next page*

I am pleased that the APPA International Committee has several new members who will work with Chair Don Evans to further our international programs. There is still significant interest on the part of the English and Polish probation officials to continue our exchange efforts. Recently the New South Wales Probation and Parole Association in Australia has also expressed an interest in an exchange of ideas with APPA. Additionally APPA is having ongoing dialogue with the United States Department of State to further this international outreach. In all, I am very pleased with the direction our international outreach is going as I believe there are tremendous opportunities for APPA and member agencies to benefit from the exchange of knowledge and potential exchange programs.

While in Philadelphia, we also welcomed the inaugural class of the Synergistic Leadership Institute. Approximately 25 future community corrections leaders enthusiastically participated in the initial class offerings and they will continue over the next 12 months with their ongoing training and tutelage. This concentrated effort to develop future leaders for the field was initiated by APPA, NAPE and the Correctional Management Institute of Texas with funding support from the National Institute of Corrections. I want to especially recognize Dee Bell for her devoted leadership with this exciting and vitally important effort. I am appreciative of those of you mentoring and coaching the class participants and your ongoing regular efforts to support and advise them.

I do want to bring specific attention to an issue in which APPA members have an opportunity to help bring about change in policy – the restoration of voting rights for felony offenders as a step toward addressing the disenfranchisement of people who have been involved with the criminal justice system. Recently an APPA resolution entitled “Restoration of Voting Rights” was approved. The document basically resolves “that the American Probation and Parole Association advocates the restoration of voting rights upon completion of an offender’s prison sentence and advocates no loss of voting rights while on community supervision.” Please take a look at the APPA Website to read the entire resolution and the justification for it. We encourage you to actively challenge federal and state policies that prevent this most basic civil right.

One final note, I want to thank the APPA staff for continually putting forth effort in developing and managing grants. Grants are a primary life blood of APPA in a couple of respects. They allow APPA to be on the forefront of research, creative develop-

ment of practice and the provision of training and publications for the community corrections field. It allows APPA to work with agencies across the country to improve programs and practices to achieve better outcomes and reduce victimization. It allows APPA a place at the national table on policy creation and practice considerations through grants that APPA manages or through grants of other allied professional groups. The variety and breadth of the grants APPA manages helps our field stay at the vanguard of important practice and policy developments that influence our daily work lives directly and circuitously. Grants also help bring financial stability to the association by augmenting our administrative overhead costs. The success of our dedicated staff is evident when you consider they are currently managing grants that represent over six million dollars in funding. Ongoing grants address such areas as domestic violence, rural officers training needs, sex offender supervision tools, preventing and deterring terrorism and gun crime, elder abuse, planning for and responding to pandemic flu, restitution management, positively engaging families of offenders, marketing community corrections, tribal offender supervision, electronic supervision tools, prison rape elimination act considerations and implementation and methamphetamine addicted offenders. New grants have recently been awarded that address such issues as domestic violence, gangs, information sharing development, assessment tools, officer workloads and underage drinking. Many more proposals are pending possible acceptance. The Executive Director and staff deserve a lot of credit for this effort and they have my personal respect.

I have been enjoying working together with and for all of you, being together with you (at least in spirit) as we trek along this great professional journey and representing APPA across the country and abroad. Thank you once again for allowing me to serve as your association’s president. 🙏🏾

Best regards to the field,



Gary Hinzman, President



# Editor's Notes

by William Burrell

Welcome to the Winter edition of *Perspectives*. We are pleased to be able to present a group of articles that can be seen as a sort of tool kit for probation and parole, offering new tools and some new guidance for improving use of existing tools. The work of probation and parole officers is challenging and becoming more so with each passing year. Let's open up the tool kit and see what's inside!

Our lead article by Tracy Brown and Steve McCabe addresses the latest technological fix to catch the fancy of the public and politicians: GPS monitoring of offenders. Barely a week goes by without news of another jurisdiction adopting GPS monitoring, mostly for sex offenders but increasingly for other groups such as gang members. As has been the unfortunate history of electronic monitoring overall, the solutions have never lived up to the promises made. The implementation challenges and workload implications of these new technologies have a serious impact on community corrections agencies. The early adopters of technology have been left to work out the myriad challenges that come with the latest technology.

Fortunately, that situation has changed. With the support of the National Institute of Justice, Brown and McCabe and their colleagues explored the GPS experiences of seven agencies. From that investigation, they have developed a practitioner's primer for GPS. The article is rich with practical, helpful advice gleaned from our colleagues who have struggled with the challenges of GPS. For those in the midst of GPS implementation or anticipating joining the growing trend, the full report of the project is available electronically. The support of NIJ in this area is also noted in Joe Russo's Technology Update. Three research projects and the Electronic Monitoring Resource Center have recently been funded by NIJ, and these efforts will increase the resources and knowledge available to our field as we continue to wrestle with the challenges of electronic monitoring.

Another area where our field struggles to find and implement effective strategies and techniques is the substance abusing offender. Linking offenders with treatment and keeping them engaged is a major challenge. In his article on transitional case management for parolees, Michael Prendergast presents a new tool called strengths case management. Those of you who were in Philadelphia for this summer's Institute may recall Mike Clark's plenary session where he addressed this new approach. Prendergast's article describes the application of the strengths model, which is at the cutting edge of research into what drives success in supervision. This approach focuses on the interactions and strategies within supervision relationships, engaging offenders instead of just telling them what to do. Stay tuned for more in this exciting area in future issues.

Providing relief from excessively large caseloads is a valuable thing to do, but it doesn't change the fact that being a probation/parole officer is a tough job. There are new tools and techniques to learn, priorities to juggle and dangerous offenders and situations to manage. It is important to stay "tuned in" to the realities of our officers. Brandon Sheeley's article about a survey of Texas probation officers provides many interesting insights. While a surprising proportion of the officers who responded indicated that they were not concerned about safety, it is clear from the data (and from many other studies) that all probation and parole staff need to be aware of and prepared for the risks they face in their offices and in the community. As Bob Thornton notes in the Spotlight on Safety, being on probation or parole is one of the characteristics of people who kill police officers. They may be a small portion of our caseload, but they are there and are dangerous.



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*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 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 [kmucci@csg.org](mailto:kmucci@csg.org) in accordance with the following deadlines:

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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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This project was supported by Grant No. 2001-WT-BX-K011, awarded by the Office on Violence Against Women, U.S. Department of Justice. The opinions, findings, conclusions, and recommendations expressed in this training program are those of the author(s) and do not necessarily reflect the views of the Department of Justice, Office on Violence Against Women.



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**Partnerships with stakeholders** lead to shared ownership of our vision.



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## Recognizing Characteristics of Armed Gunmen

The 2006 FBI Annual Crime Report released September 24, 2007 reported that violent crime nationwide increased for the second consecutive year in a decade. As statistics have shown over time, the majority of serious crimes are committed by repeat offenders, many under current parole or probation supervision.

FBI reports on police officers feloniously killed in the line of duty have shown that one of the major characteristics of killers of police officers are that the killers are on parole or probation supervision at the time of the killing of the officer. Community Corrections Institute's study of probation and parole officers killed in the line of duty also shows that the majority of the officers are killed by the use of a firearm. With these facts in mind, it is in our best interest to understand some of the common characteristics of armed gunmen.

The right hand is the dominant hand of most gunmen. Thus, guns will be carried where they are easily accessible to the dominant hand, with the waistband, between the belly and hip, being the primary location, followed by the small of the back. Other common carry areas are beneath the belt-line in the groin area or pants pocket on the dominant side. Less likely but sometimes used areas are inside the left ankle and beneath the left arm, fastened to the abdomen.

Due to the fact that the gun will not usually be carried in a holster, the gunman will modify their body movements to accommodate the gun. The gunman will instinctively touch or manipulate the gun to secure it in place when they move. These security adjustments will often be done with the hand, wrist or forearm. They will also tend to hold the arm on the

gun-side closer to the body to support or conceal the gun.


When confronted by officers, the offender will tend to turn the "armed side" away. When running or walking fast they will hold the firearm with their hand, wrist or forearm.

Baggy and loose clothing helps to conceal the offender's weapon. Shirts will be worn with the shirttail outside the pants, covering the waist. If wearing a jacket and carrying the gun in the pocket, the hemline of the jacket will often hang lower due to the weight of the gun. While walking, the gunman with a gun in the coat pocket will hold the gun to prevent it from swinging or bouncing.

More exotic techniques include carrying lighter guns on straps or strings around the neck. What may look like a typical neck chain may carry a gun at the end. Some offenders have also been found to secure smaller firearms on their back just below the neck using Velcro so that the gun can be reached if officers instruct the offender to place their hands on or behind their head. It is also an area that is many times overlooked during a pat-down search.

Some basic tactics can increase our safety when confronting offenders, especially those who may possibly be armed:

- Listen for "delay tactics" in response to requests, e.g., questioning or complaining about your instructions;
  - Watch for sudden bends or leans;
  - Frisk "firearm areas" first;
  - Frisk thoroughly;
  - If one weapon is discovered don't stop!
- Don't confront unless you have control;
  - Use "contact & cover" when working with a partner;
  - If possible, approach from the offender's dominant side-usually the right side;
  - Use "code-words" with a partner, indicating a weapon;

Most of our contacts will not involve armed assailants; however, this can lead to complacency on our part. Be vigilant and be aware of the signs that can alert you to the armed offender. 

### References

- USA TODAY. Violent crime up 2nd year in a row. September, 25, 2007, 1A.
- Schweer, Ronald G. and Thornton, Robert L., Strategies for Officer Safety Program, 2007

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*Robert L. Thornton is the Director of the Community Corrections Institute in Springdale, WA and the chair of the APPA Health and Safety Committee.*

## Electronic Monitoring Initiatives through the National Institute of Justice

### Electronic Monitoring Research

The National Institute of Justice (NIJ) has recognized that despite the increased use of electronic monitoring technology there remains a great need for research into the effectiveness of this supervision strategy. In response to this need, NIJ released a research solicitation in late 2006 entitled: Community Corrections: Evaluating the Effectiveness of Electronic Monitoring for Moderate to High-Risk Offenders Under Supervision.

As indicated in the solicitation text there is a paucity of empirical evidence regarding the effects of electronic monitoring on protecting public safety by reducing rates of re-offending. Moreover, because criminal justice agencies use electronic monitoring for a variety of purposes and offender populations, it is essential to examine the purposes for which this approach is most effective and with which particular offender populations.

A number of proposals were received

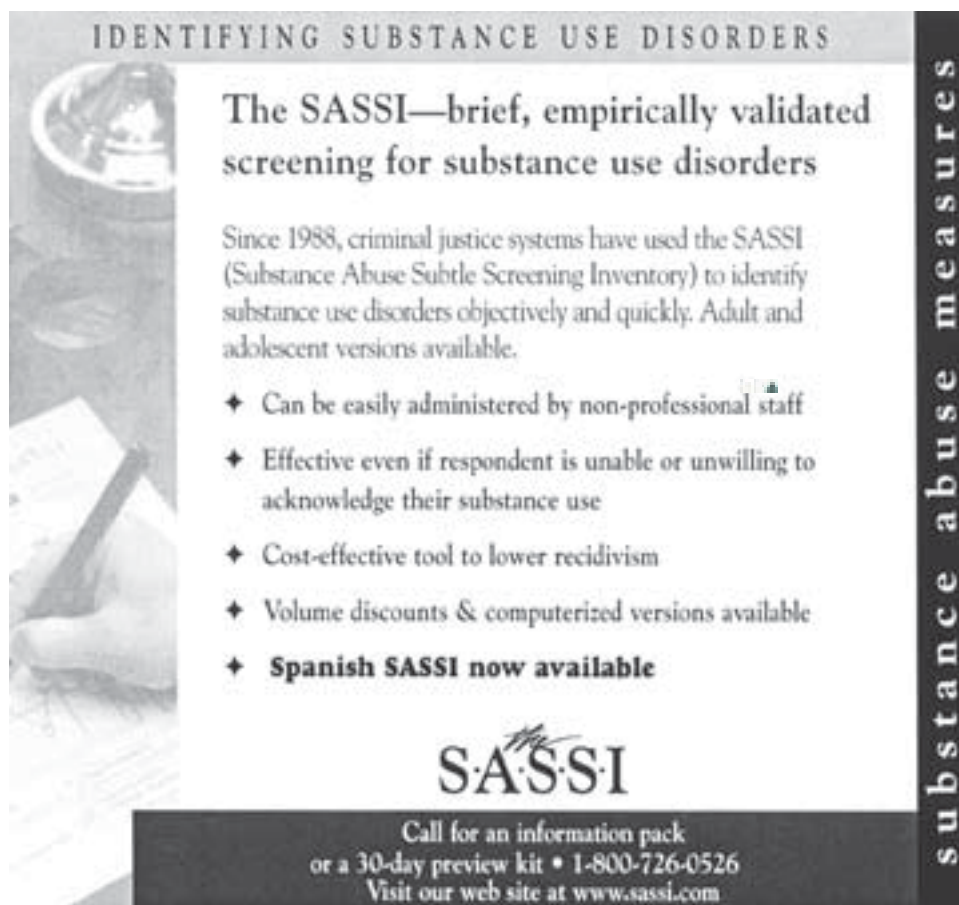
in response to this solicitation and NIJ has since funded three. The first award was made to the Development Services Group, Inc. (DSG) to conduct a process and impact evaluation of the California Department of Corrections and Rehabilitation's (CDRC) GPS Monitoring Program of High-Risk Sex Offenders (HRSOs). The overall purpose of this study is to conduct a quasi-experimental evaluation of the program and assess the impact, quality and costs including the program's effectiveness in

### Editor's Notes, Continued

One part of this survey should be of interest to all administrators. The responding officers indicated how their job satisfaction could be increased. The #1 and #3 recommendations were better communication and increased recognition. These are things that can be done easily, quickly and at no cost!

In the Research Update, David Karp and Uriel Salcedo explore an interesting hypothesis: Does having friendships with females, as opposed to males, result in less delinquency? Given the influence of anti-social peers as a criminogenic factor, and the positive impact of marriage on offending rates described in the life course criminology literature, this suggests an interesting possibility for supervision.

We hope you enjoy this issue of *Perspectives*, and that you find some new tools to use as you carry out your duties. As always, we welcome your comments, suggestions and feedback on this, your professional journal.



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reducing sex offender recidivism and detecting technical parole violations. Researchers will evaluate the impact of the program on offender recidivism and other parole violation outcomes using CDRC panel data on a population of roughly 800 HRSOs who are placed in the GPS monitoring program as the program is rolled out at discrete time periods over a single year

The second study will be performed by the University of Illinois at Chicago to evaluate the use, implementation and effectiveness of GPS programs aimed at preventing repeat domestic violence in the pretrial/predisposition period, a volatile phase during which women are vulnerable to renewed abuse. The study will be comprised of three parts. First, they will analyze records from five GPS

using jurisdictions to examine program effectiveness in the short term (pre-adjudication) and long term (post-program release or post-incarceration).

Relevant social, behavioral and legally related data will be extracted from administrative records on domestic violence offenders who the courts deemed of sufficiently high risk for a GPS assessment. Since only a portion of these referrals actually ends up on GPS, comparison groups comprised of similar offenders (in terms of risk) assigned to different conditions (GPS, non-GPS) result. In addition to recidivism patterns, they will analyze severity of abuse in repeat violence, examine whether there are group differences in who reported the instant offense and who reports repeat violence in the post-adjudication period and use court records to assess differences in

dismissal/verdict rates. Agency records will also be analyzed for patterns in compliance with program rules, including geo-zone violations. Because agencies differ in various attributes (e.g., passive vs. active GPS), recidivism among GPS enrollees across agencies will also be examined. Second, an e-mail survey of all agencies in the United States using GPS and RF technologies to address the safety of IPV victims in the post arrest/pretrial period will solicit responses on the relative value of each technology in terms of its protective potentials, costs, accuracy, reliability, versatility and ease of implementation. Third, the use, implementation and effectiveness of GPS for DV will be addressed through in-depth interviews with representatives of all stakeholders (victims, offenders, justice personnel and victim advocates, as well as vendors and

*Continued, next page*



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manufacturers). Such interviews are helpful in revealing the learning curve associated with implementing EM as a protective technology, the subjective impact of EM for victims and offenders and the legal and practical considerations that inform the decisions of justice personnel.

The third study will be conducted by Florida State University (FSU) and will seek to provide empirical evidence of the effectiveness of electronic monitoring in reducing the likelihood of recidivism and absconding for moderate to high-risk offenders on community supervision and to answer the important questions of how and why electronic monitoring “works” and at what cost to public safety and public coffers. FSU will work with the Florida Department of Corrections and will utilize that agency’s data on community supervision offenders and correctional processes. Both qualitative and quantitative research methods will be employed to evaluate the policies and processes related to electronic monitoring that are currently in place in Florida; the effectiveness of electronic monitoring in reducing recidivism, absconding and technical violations; whether there are long term reductions in re-offending after offenders are no longer under electronic monitoring; and the cost-effectiveness of using electronic surveillance as an alternative or supplement to incarceration.

#### Direct Technical Assistance

Readers may be aware of a new resource provided by the National Law Enforcement & Corrections Technology Center (NLECTC) under a grant by NIJ called the Electronic Monitoring Resource Center (EMRC). For those not yet familiar with EMRC, it is a free, web-based, searchable database containing documents pertaining to all areas of electronic monitoring from the technology to procurement to implementation to evaluation. There is

also a discussion forum for practitioners to share information with their colleagues. A new and important element of the EMRC is the provision of free direct technical assistance to agencies. George Drake, former deputy director of the New Mexico Department of Corrections, Probation and Parole Division, and a pioneer in the electronic monitoring field now contracts with NLECTC to provide these services to agencies. Contact us if you require assistance in understanding the technologies currently available, their strengths and weaknesses, how to evaluate these options, how to best procure this

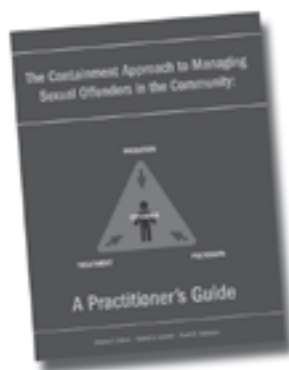
technology or how to implement it. For more information on the EMRC please visit <https://emresourcecenter.nlectc.du.edu>.

To contact NLECTC regarding technical assistance please e-mail George Drake at [gbdrake@comcast.net](mailto:gbdrake@comcast.net).

For further information on the APPA Technology Committee please feel free to contact Joe Russo at 800-416-8086 or [jrusso@du.edu](mailto:jrusso@du.edu).

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*Joe Russo is Assistant Director for the National Law Enforcement and Corrections Technology Center in Denver, Colorado and is chair of the APPA Technology Committee.*



#### THE CONTAINMENT APPROACH TO MANAGING SEXUAL OFFENDERS IN THE COMMUNITY: A PRACTITIONER'S GUIDE

By Charles F. Edson, Robert G. Lundell & David R. Robinson  
© 2007

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## Recent Research on Friendships and Crime

"Girl Friends are Better: Gender, Friends, and Crime among School and Street Youth."

Bill McCarthy, Diane Felmlee, and John Hagan  
Criminology 2004. 42: 805-827.

In this update, we review a study that explores the impact of friendships on criminality. In particular, the authors wonder if having close female friends reduces the likelihood of committing a crime.

When we think about gangs, images of young, tough males typically come to mind. We think of strong bonds of loyalty—"blood in, blood out"—and friendship. Criminologists have long considered the impact of male friendship networks on criminality. But what about friendships with girls? Do they discourage criminality? Or are they co-conspirators, encouraging male displays of bravado and risk-taking? Should we be encouraging youthful offenders to form more friendships with girls?

Despite recent popular media narratives like the movie *Mean Girls*, the authors of this study believe that friendships with girls do reduce criminality. Females, they argue, tend to hold more negative attitudes about their friends' committing crime and tend to be less competitive in their friendships, which may produce less pressure to engage in risk-taking or thrill-seeking activities, such as crime. Females may also have fewer opportunities available to them to commit crime. They tend to meet in places that have greater supervision than male friends and are more likely to be under the watchful eye of their parents. Finally, female friendships tend to be more intimate than male friendships. They tend to disclose

more and receive greater benefits from close friendships. And they are less likely to jeopardize friendships by engaging in behavior that meets with their friends' disapproval.

While it is the case that boys tend to be friends with other boys, and girls with other

girls, the authors are especially interested in the impact of cross-gender friendships. They hypothesize that males are less likely to be delinquent if they have many female friends. They argue that "the greater intimacy and support of cross-gender friendships should increase social control



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for boys while reducing some motivations and opportunities [for crime]" (p.811).

To examine their hypothesis, the authors used two sets of data to explore their ideas. The first data set contained self-report information of 563 high school youth from Toronto, Canada. All of the individuals attended one of the three high schools in that area in 1987. The second data set contains information about youth living in the streets of Toronto, aged 16-19, in 1987 and 1988. They chose these two samples because it allowed them to make a comparison between two groups who differ in their backgrounds, experiences and involvement in offending. The subjects completed questionnaires that explore their demographic backgrounds, their friendships and their participation in delinquency—specifically involvement in property crime.

Consistent with past research, the adolescents typically participated in same-sex dominated networks. For the street youth, same-sex networks were still predominant, but much less so than for the school youth. To establish this, the researchers asked the subjects to identify the gender of their three closest friends. The subjects were then divided by those with more female friends than male or vice versa. For the school-based subjects, about 90 percent of the girls had female-dominated friendship networks and about 90 percent of the boys had male-dominated friendship networks.

The results confirmed their hypothesis. The more an individual (male or female) belonged to a female-dominated network of close friends, the less involved he or she was in crime. This held true for the school-based male subjects, even though relatively few of them did have more close female friends than male friends. The only group that was not influenced by a female friendship network was street males.

Despite recent popular images of

females as negative and aggressive, these researchers argue that "compared to relationships with males, friendships with females provide more social control, fewer opportunities and less motivations for offending and may therefore discourage crime" (p.805). Although the authors do not make policy recommendations, the research does imply that it is useful to

identify and consider the gender-nature of friendships and possible strategies to increase a delinquent youth's circle of female friends. ■■■

*David R. Karp is Associate Professor of Sociology and Interim Associate Dean of Student Affairs at Skidmore College in Saratoga Springs, New York. Uriel Salcedo is a sociology major at Skidmore.*

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*The following President's Message is re-printed here by kind permission of the author, Mr. Theodis Beck who serves as current president of the Association of State Correctional Administrators (ASCA). The Message was originally published in ASCA's September 2007, Vol. XXIV, No. 7 of Corrections Directions. Mr. Beck's observations are important in underlining why the American Probation and Parole Association's recent adoption of a resolution supporting the rights of convicted felons to regain the right to vote in the United States is so important. More and more emphasis is being placed on assisting offenders with re-entering their communities following incarceration in prisons and jails and being able to participate in the voting process is an important aspect of this process of reintegration. Please also see the official APPA resolution on Restoration on Voting Rights on page 21.*

For many Americans, fall elections represent one of the most fundamental principles of American democracy—the right to vote. For many felony offenders, however, the election season represents just the opposite—the loss of the right to vote.

Last month, four Wisconsin men were charged with election fraud for voting in a November 2006 election. If convicted, each faces up to a \$10,000 fine and three and one-half years in prison. According to an article in the Milwaukee Journal Sentinel, the men gave various reasons for the confusion about their voting rights. One man thought he could vote in local elections, but not national elections; another thought he could vote for resolutions but not people; and another thought he could vote because he was on community supervision and not incarcerated. All of them were wrong.

State laws vary when it comes to the disenfranchisement of offenders. In two states, offenders do not lose the right to vote even when they are incarcerated. At the other end of the spectrum, two states permanently disenfranchise felony offenders absent intervention by the Governor or the courts. Most states restore the right to vote once felony offenders complete periods of probation and/or parole.

In North Carolina, an offender's right to vote is automatically restored upon completion of all periods of incarceration and/or community supervision. If the offender has no community supervision upon release from prison, the Division of Prisons gives the offender a Certificate of Restoration, a voter registration form and a brochure from the State Board of Elections that explains voting rights. If the offender serves a period of community supervision, the Division of Community Corrections will fulfill that obligation when the supervision has ended.

I believe we have a good process in place in North Carolina. Even so, ex-offenders sometimes are unsure of whether they have the right to vote. I imagine the confusion is compounded in other states that require the offender to apply for restoration of the right to vote, deny restoration for certain offenses or require a waiting period prior to restoration of the right to vote.

As correctional administrators, we should view the right to vote as an important piece of offender reentry. We need to make sure that offenders understand the laws of their respective states regarding the right to vote and the processes by which

an offender's right to vote is restored. We need to make sure that those offenders who have the right to vote also have the opportunity to vote behind the correctional walls.

Most Americans understand the importance of the right to vote. The early colonists fought for it; African-Americans fought for it; women fought for it. As Lyndon Johnson once said, "The vote is the most powerful instrument ever devised by man for breaking down injustice and destroying the terrible walls which imprison men because they are different from other men."

According to The Sentencing Project, more than five million Americans cannot vote because of a felony conviction. I would venture that millions more have the right to vote but do not use it because they are confused about the laws, don't want to risk a felony charge for trying to register or think that voting has no value. As correctional administrators, we need to eliminate that confusion before the offenders leave our systems.

Until former offenders exercise the right to vote in strong numbers, their voices will remain silent as to those issues that are critical to their successful reentry into society, such as housing and employment barriers. Without the power of the ballot, they will have no leverage to effect real changes in their post-release lives. Without real change, they ultimately will continue to return to our systems through what has become a revolving door.

I therefore encourage all of you to work with your respective state boards of elections to develop information about voting rights for offenders. We must make sure that offenders receive and understand that information as part of the prerelease planning process.

As correctional administrators, however, we must not stop there. We need to simplify cumbersome procedural requirements that discourage inmates from seeking restoration of rights forfeited upon conviction. We need to make sure that former offenders are not alienated from the democratic process. In the words of Jerome Nathanson, "(t)he price of the democratic way of life is a growing appreciation of people's differences, not merely as tolerable, but as the essence of a rich and rewarding human experience."

## APPA Staff Help Out

*On August 29, 2005, Hurricane Katrina ravaged the Gulf Coast. The nation's most costly natural disaster, Katrina killed more than 1,600 people, destroyed 200,000 Gulf Coast homes and displaced close to 1 million people. In October of 2005, John R. Higgins, part of the Creative Services Team at APPA, went with a team to do initial cleanup work in Pascagoula, Mississippi. This past October, John and another team got a chance to go back to Pascagoula and survey the progress in getting back to a normal existence.*

"This is going to take decades."

This was one of my last thoughts as we left Pascagoula, Mississippi in October of 2005. We had agreed in principle to return to Pascagoula to help out some more, but none of the fifteen individuals that I was traveling with ever knew if we would REALLY get back to help.

Well, this past October, we got our wish.

Our work in 2005 was entirely cleanup work—opening homes that had not been opened since the hurricane (about six weeks), ripping out drywall, bleaching everything—A huge mess.

Thirteen volunteers went back to Pascagoula and, with First Presbyterian Church of Pascagoula, assisted in the ongoing rebuilding of this town that was so ravaged by the hurricane. Now two years later, the city is alive and well, with rebuild well underway. Commerce has returned and the spirit of its people is charged with a "sooner than later" mentality for a return to normal life. There is still a long way to go – many homes and families await aid from groups such as ours – some of these families have lived in 25 foot trailers for over two years – so the need for continuance of these trips may stretch years into the future. But we are making a marked difference.

For our part, we contributed our services to four different families with projects ranging from hanging and finishing drywall, replacing paneling and ceilings, laying new floors as well as taking to the challenge of building new decks. This was a terrific learning experience for me as I learned the finer art of "creating" rather than destroying.

The Federal Emergency Management Association (FEMA) trailer parks are still there, but there are not many displaced Pascagoula residents there - mostly contractors. The debris from the destroyed homes is gone now, with just bare foundations to remind us where they used to be. A lot of people have chosen to leave this area, as evidenced by the many for sale signs that are sprinkled around town. For the people that are staying, there is a steady progress toward the future. Determination to live life in the norm, and not looking back. 🏠



*John Higgins, hard at work cutting spindles for a new deck.*



*New construction in Pascagoula, MS.*



*Completed deck. Team posing with new owners.*



## American Probation & Parole Association Resolution on Restoration of Voting Rights, September, 2007

WHEREAS, many citizens who have been convicted of felonies and have completed their sentences, including community supervision, do not have the right to vote; and

WHEREAS, many states have some restrictions on voting privileges for felons; and

WHEREAS, the loss of the right to vote is not based on a need to protect the

integrity of the electoral process and the justice system; and

WHEREAS, disenfranchisement of felons is disproportionately affecting an increasingly large segment of the population and their families; and

WHEREAS, disenfranchisement laws work against the successful reentry of offenders;

THEREFORE, BE IT RESOLVED that the American Probation and Parole Association advocates the restoration of voting rights upon completion of an offender's prison sentence and advocates no loss of voting rights while on community supervision.

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## APPA Elections: Call for Nominations

Nomination for regional director positions:

All active individual, affiliate or agency members are encouraged to nominate individuals to serve as regional directors from the following regions for a period of three years.

REGION	STATES REPRESENTED IN REGION	PRESENT INCUMBENT
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Region 2	New York	Robert Sudlow
Region 4	Maryland, Virginia, Washington DC, West Virginia	Judith Sachwald
Region 6	Georgia, North Carolina, South Carolina	Rhonda Grant
Region 7	Alabama, Florida, Louisiana, Mississippi, Puerto Rico, Tennessee	David McGriff
Region 8	Indiana, Kentucky, Michigan	Michael Brown
Region 10	Iowa, Minnesota, Wisconsin	Les Schultz
Region 13	Colorado, Nebraska, North Dakota, South Dakota, Wyoming	Janice Vaznonis
Region 14	Arizona, Nevada, New Mexico, Utah	Gini Highfield
Region 15	Alaska, Idaho, Montana, Oregon, Washington	Scott Taylor
Region 16	American Samoa, California, Guam, Hawaii, Mariana Islands, Palau, Philippines	Vincent Iaria

According to the APPA Constitution, Article V, Section 9: To qualify for elected office in this association, the candidates must be: (a) an active member in good standing, willing and able to fulfill the duties of the office for which nominated, and be willing and able to serve in the office for the length of time necessary to fulfill the duties of the office.

### *Article IV, Section 1 (a)*

*Individual members may serve on committees, chair committees and run for an elected position on the Board of Directors.*

**Nominations must be received in writing by April 1.** Members are encouraged to nominate themselves for regional director positions. This position offers members an opportunity to present and discuss issues germane to the field and set the course for future initiatives for your association. Candidates accepting

a nomination for regional director must provide a biography or statement of fewer than 150 words, which will be included on the ballot.

The schedule below will be followed for the 2008 election:

**December, January, February, March**  
Call for nominations for regional director positions.

**April 1** Cut off date for nominations for regional director positions.

**April 7** Nominations committee selects two candidates for each regional director position from those nominated and prepares ballot.

**May 28** Election ballot, containing candidates for regional director's positions, is mailed first class to each current member.

**July 1** Last day for ballot postmark.

**July 7-8** Ballots counted.

**July 9** All candidates notified of election results.

**August 6** Nominations Committee reports results at membership meeting

**All nominations should be sent by April 1, 2008 to:**

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## THE PROBLEM

The recent proliferation of legislation related to sex offenders and Global Positioning System (GPS) tracking has imposed a steep learning curve on state, local, county and municipal community supervision agencies. Highly public cases such as that of Jessica Lunsford in Florida have raised the profile and expectations of GPS. Using GPS to monitor pretrial defendants and convicted offenders has captured the imagination of the media, the public, legislators, law enforcement and other criminal justice stakeholders. As a result, supervision agencies are implementing GPS for a number of offenses and must become experts quickly and often with limited resources. In doing so, agencies are faced with such questions as:

**How do we incorporate GPS into our overall community supervision programs?**

**What are the current practices for applying GPS technology to community supervision?**

**What are the strengths and weaknesses of using GPS to track supervisees?**

**What are the lessons learned from other supervision agencies currently using GPS?**

**Is Active or Passive GPS most appropriate for our needs?**

**How will GPS affect staffing requirements and staff workloads?**

## THE STUDY

In an effort to address these and similar questions, Noblis' Center for Criminal Justice Technology (CCJT), in partnership with the Department of Justice, Office of Justice Programs, National Institute of Justice (NIJ), undertook a study to identify the challenges supervision agencies face when using GPS to track supervisees and lessons learned from implementing the technology.<sup>1</sup> We also researched the state of GPS and other location-based tracking technologies, as well as GPS standards and evaluations of GPS programs. The full study, entitled *GPS Technology for Community Supervision: Lessons Learned* was authored by Ms. Brown and Mr. McCabe of Noblis, and Dr. Charles Wellford, Director, Maryland Justice Analysis Center, University of Maryland. The research was conducted throughout 2006 and the study was published in June 2007.<sup>2</sup>

<sup>1</sup> The GPS lessons learned study was supported under Cooperative Agreement 2001-LT-BX-K002, in conjunction with the U.S. Department of Justice, Office of Justice Programs, National Institute of Justice, Office of Science and Technology. The opinions, findings, and conclusions or recommendations expressed in this article and the study report are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Justice. The products and manufacturers discussed in this article and the study report are presented for informational purposes only and do not constitute product approval or endorsement by the U.S. Department of Justice.

<sup>2</sup> The full study can be downloaded from: [http://www.noblis.org/BusinessAreas/CriminalJustice/GPS\\_\(high\\_res\\_13.8Mb\).pdf](http://www.noblis.org/BusinessAreas/CriminalJustice/GPS_(high_res_13.8Mb).pdf)

# COVER STORY

We selected seven community supervision agencies based on their size, type of program, geographic location and number of years using GPS (Figure 1). Pretrial, probation and parole agencies were selected while also sampling for a variety of GPS vendors. Interviews were conducted with all levels of staff such as directors, program managers, supervisors, officers, monitors and technicians.

Also as part of the study, we looked at the GPS vendor market as well as alternative technologies emerging in the field of location-based tracking. We also investigated the existing state of GPS standards and evaluations and how these two areas are related.

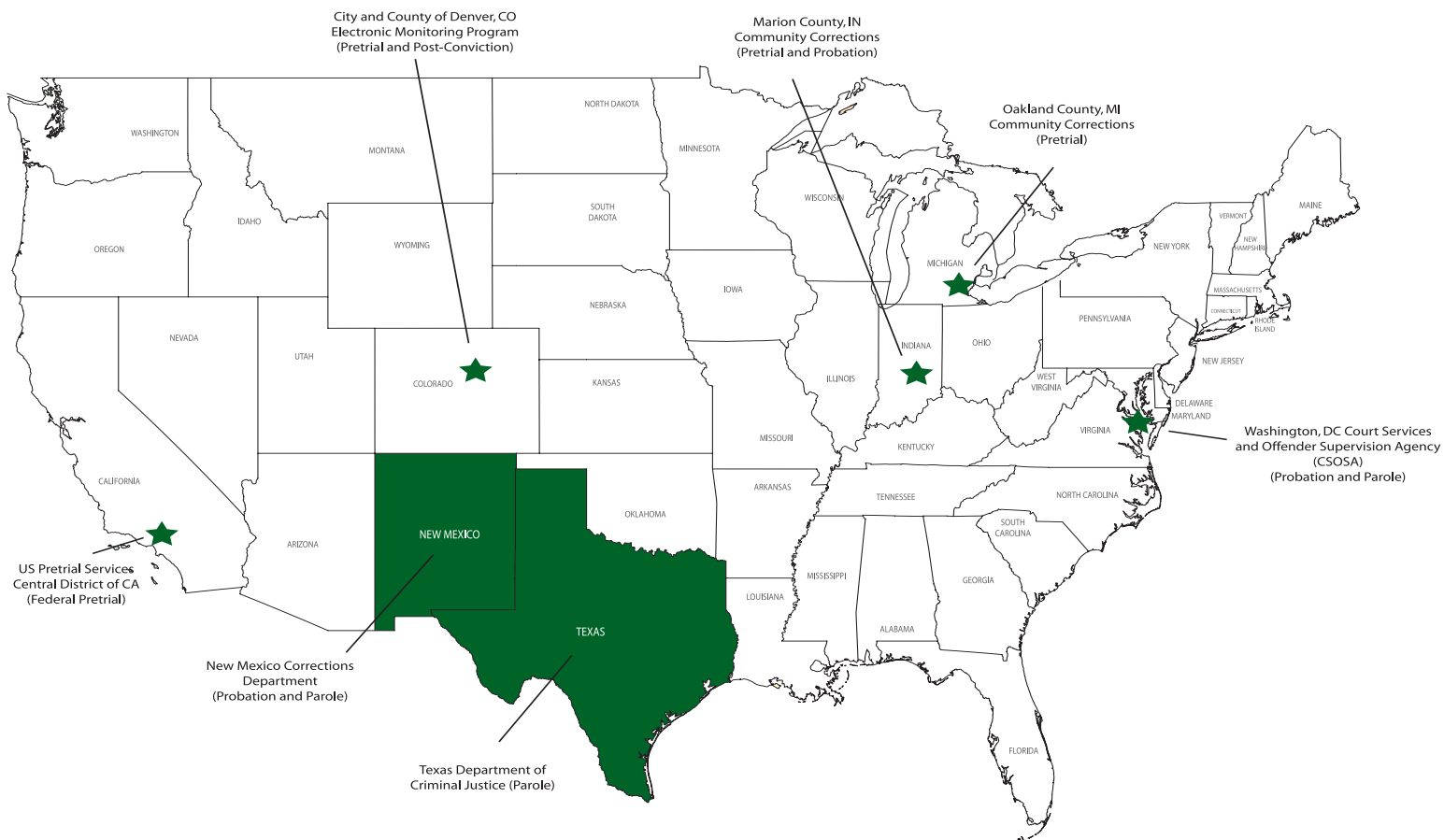
## THE TECHNOLOGY

Most consumers have become familiar with GPS over the last few years as commercial uses have greatly expanded. GPS is widely available in vehicles, cell phones, personal digital assistants (PDAs) and other personal devices. The technology consists of twenty-four satellites orbiting the earth, three of which must triangulate to identify a receiver's location by

measuring the distance to the receiver and comparing the measurements. A fourth satellite measures the time to the receiver. The sophistication of a particular GPS receiver impacts the reliability and accuracy of the location data that is received.

GPS technology used for community supervision differs from conventional consumer products in a number of ways. The GPS receiver is not only designed to identify a current location point, but also store that data in a historical database and ultimately relay the data to a centralized repository for analysis. In addition to the GPS receiver, defendant/offender tracking equipment includes a tamper-resistant bracelet and a charging unit. The bracelet utilizes radio frequency (RF) technology to verify its proximity to the GPS receiver. If this "virtual tether" is broken, an alert is generated. As an alternative, several vendors have begun offering one-piece units that combine the receiver and bracelet into a single piece of equipment. For these one piece units, the charging device charges the bracelet/receiver component. In multi-piece units the charger simply charges the GPS receiver, while the bracelet is outfitted with a long-lasting battery.

Figure 1: Seven Sample Community Supervision Agencies





Within the community supervision field, there are three basic concepts of how the collected GPS location data is transmitted to a vendor's software for processing, *Active*, *Passive* and *Hybrid* (Figure 2). With *Active* GPS, cellular communications are used to transmit the collected GPS data points to the vendor software for processing. This is done in "near real-time", such as every minute, every five minutes or some other configurable parameter. With *Passive* GPS, the receiver simply collects and stores the GPS data throughout the day. Once the supervisee returns home, he/she must place the GPS receiver in the charging unit. When connected to the charger, the GPS receiver transmits the location data points from the day to the vendor's software for processing using a land-line phone connection.

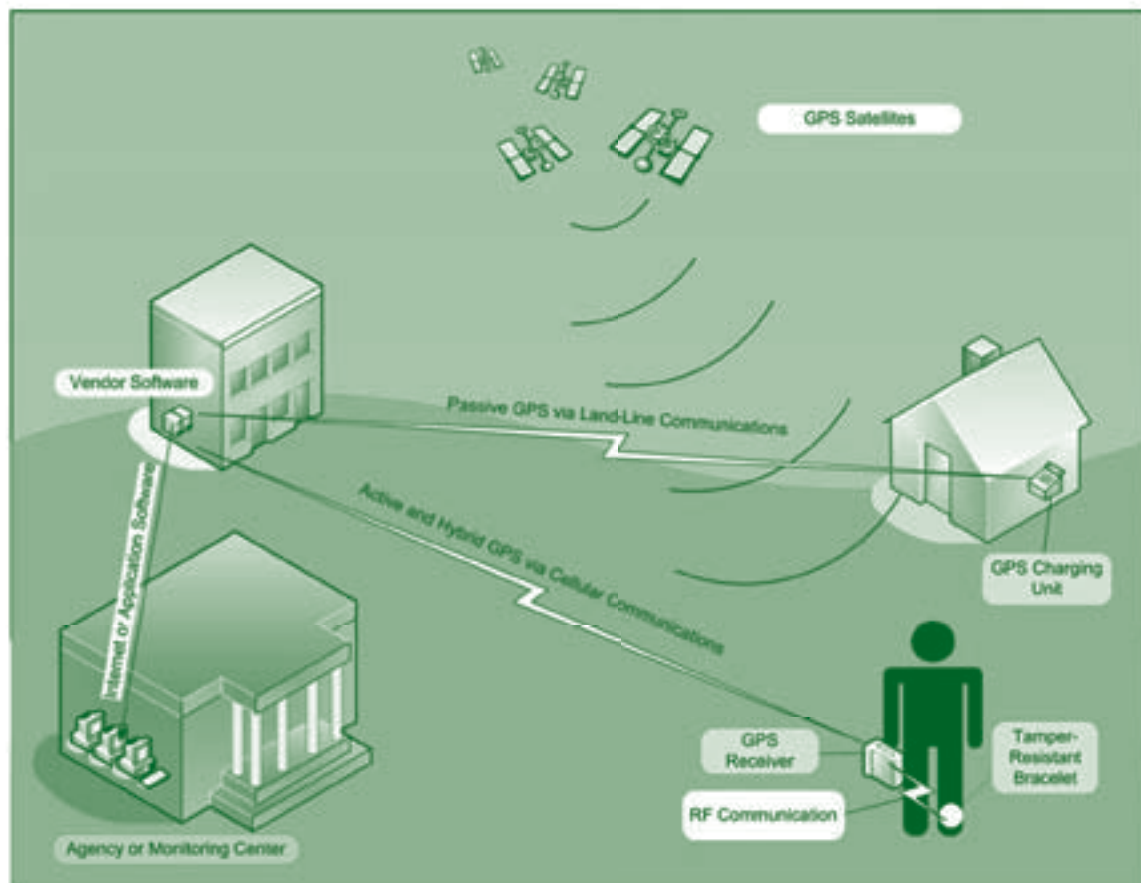
The term *Hybrid* GPS has recently emerged in the criminal justice GPS market as a third model for GPS tracking. The primary differentiator of *Hybrid* GPS is the frequency and trigger by which the GPS data is sent to the vendor and agency. With *Active* GPS, the location data is sent to the vendor software for processing in near-real time on a regular basis. With the *Hybrid* concept, the data is sent to the vendor on a less regular basis (which is programmable - such as every few hours), but automatically switches to *Active* mode in the event of an alert. For *Hybrid* GPS, the time parameter is usually much longer than with *Active*, but more frequently than once a day, as with *Passive*. *Hybrid* GPS uses cellular technology to transmit the data; however, since the device is not sending the data in near-real time, the cellular communications are less frequent than with *Active*. Vendors marketing the *Hybrid* concept offer various descriptions and capabilities so agencies must be sure they fully understand the differences across products. Since the *Hybrid* model

was fairly new at the time of our study, none of the participating agencies utilized the technology, so study results focus on *Active* and *Passive* GPS only.

A key aspect of GPS tracking technology is the vendor software that processes the location data based on predefined parameters for each defendant/offender. The software typically consists of case management and mapping components. Although each vendor offers different features, most contain the ability to define an approved schedule for the supervisee, establish exclusion and inclusion zones, set other alert parameters, manage inventory, run and review reports and review location data on a map.

The final element of GPS tracking technology is a monitoring center. This is frequently offered by the vendors as part of the daily fees associated with GPS service and consists of call center staff trained to review and respond to alerts according to a protocol established in conjunction with the supervision agency. In some cases, agencies establish their own internal monitoring center. In either case, the monitoring center serves as the first line review for alerts.

Figure 2: How GPS Data is Collected



### AGENCY EXPERIENCES

Although supervision programs using GPS vary widely with regard to scope, objectives and processes, the intent of the study was to provide a comprehensive and informative look at common strategies that agencies use when implementing and managing GPS as well as pertinent lessons learned. The best way to understand what works and what does not is to learn from those who have extensively worked with the technology in the field. The details that follow are a critical subset of what we learned.

Upon analyzing the interview data, we identified six programmatic areas as critical to a community supervision program's implementation and management of GPS. Each of these six areas, which are identified in Figure 3 and detailed below, focuses on unique aspects of using GPS as a tool for supervision.

### PROGRAM AND POLICY DESIGN

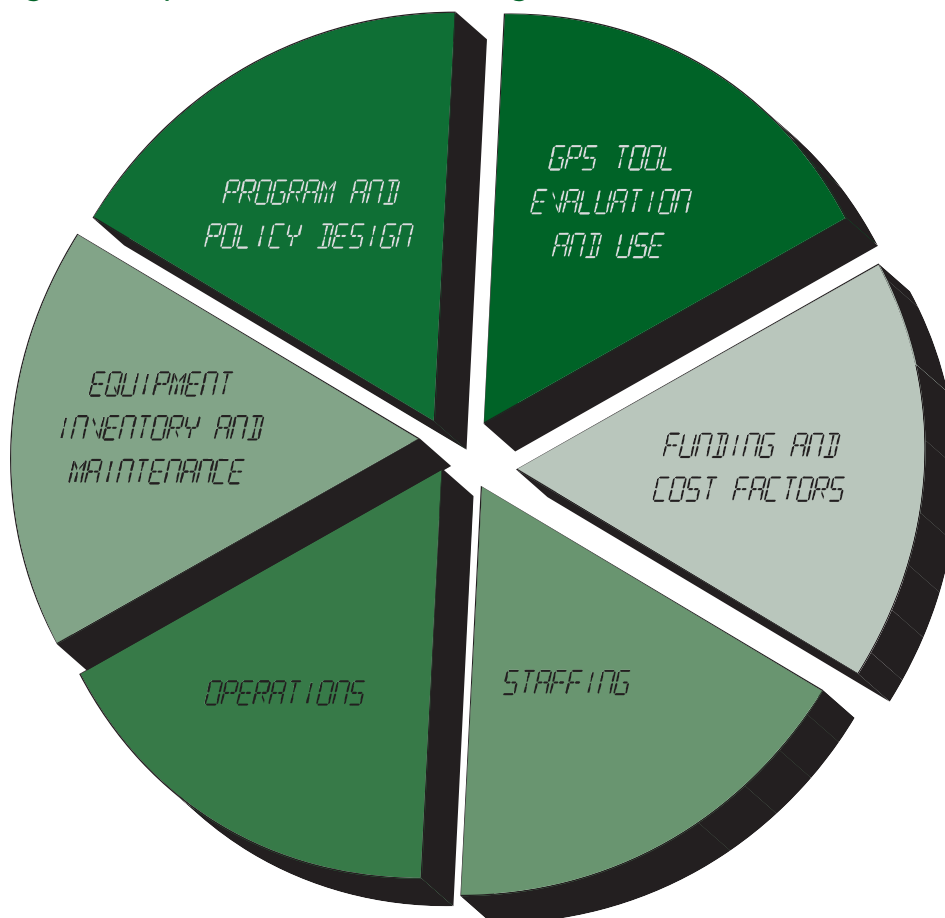
As previously indicated, many agencies are currently implementing GPS in order to meet legislative mandates and this was also true for some agencies in the study group. However, agencies are also looking to provide an enhanced method of supervision and to reduce jail or prison overcrowding. The most frequently cited objectives for implementing GPS were to ensure defendant/offender accountability, to deter additional crime and to more effectively protect the public. Agencies also want to implement GPS as a sanctioning tool and as an intensive supervision tool. Pretrial agencies cited a desire to mitigate pre-trial absconding, provide defendants a means to maintain their lives while awaiting trial and provide for victim safety through victim notification. Regardless of the objectives, *an agency must first have a solid understanding of their reasons for implementing GPS in order to effectively evaluate whether a GPS program is successful or not.* Our study participants acknowledged that while they had clear goals and objectives for using GPS,

the performance metrics of a program were secondary in importance to implementing the program. This left agencies unprepared to examine the program results due to lack of metrics.

We identified several legal and judicial considerations for a program which include not only legislation, but an agency's authority to issue warrants, applicable privacy laws, judicial discretion and using GPS data as evidence. Agencies implementing GPS must thoroughly evaluate their own needs and limitations in these areas as part of program planning and implementation activities. For instance, an agency's inability to issue a warrant may indicate a need for specific policies and procedures to accommodate after-hours violations resulting in a warrant.

With more information comes more responsibility and agencies are acutely aware of how that information may impose liability on their agency. Liability was a topic of concern for every agency and nearly every level of staff

**Figure 3.**  
Six Programmatic Areas Critical to a Community Supervision Program's Implementation and Management of GPS





interviewed. Agencies must carefully manage the expectations that coincide with having access to all of a defendant/offender's location data. They do so by establishing policies and procedures designed to mitigate their liability while also working to educate criminal justice stakeholders regarding the realities of the technology. Specifically, agencies limit caseloads, structure victim alerts so that only the most high-priority alerts are sent, hire additional staff, install back-up review processes and employ 24/7 operations.

Of critical importance in setting up a GPS program is selecting the most appropriate type of GPS equipment. Understanding the legislation or objectives for implementing GPS sets the stage for the equipment decisions that an agency makes. For instance, suppose an agency is faced with legislation stating that certain types of sex offenders must be "continuously monitored with GPS for life". Does this mean *Active*, *Passive* or *Hybrid* GPS? If it is interpreted as *Active*, does the agency have the resources to monitor and respond to all alerts that occur in real-time? If not, how will the agency mitigate their liability of using *Active* GPS with staff that only works 8 a.m. to 5 p.m.? If the agency decides to implement *Passive* GPS to meet the legislation, will reviewing a sex offender's location data 24 hours after the fact really meet the expectations of the legislation or the public?

Victim notification is another pertinent example of the broad impact GPS equipment decisions have on a program. In order to enhance victim safety, an agency would have little choice but to invest in an *Active* or *Hybrid* system, since *Passive* data is only sent once at the end of each day.

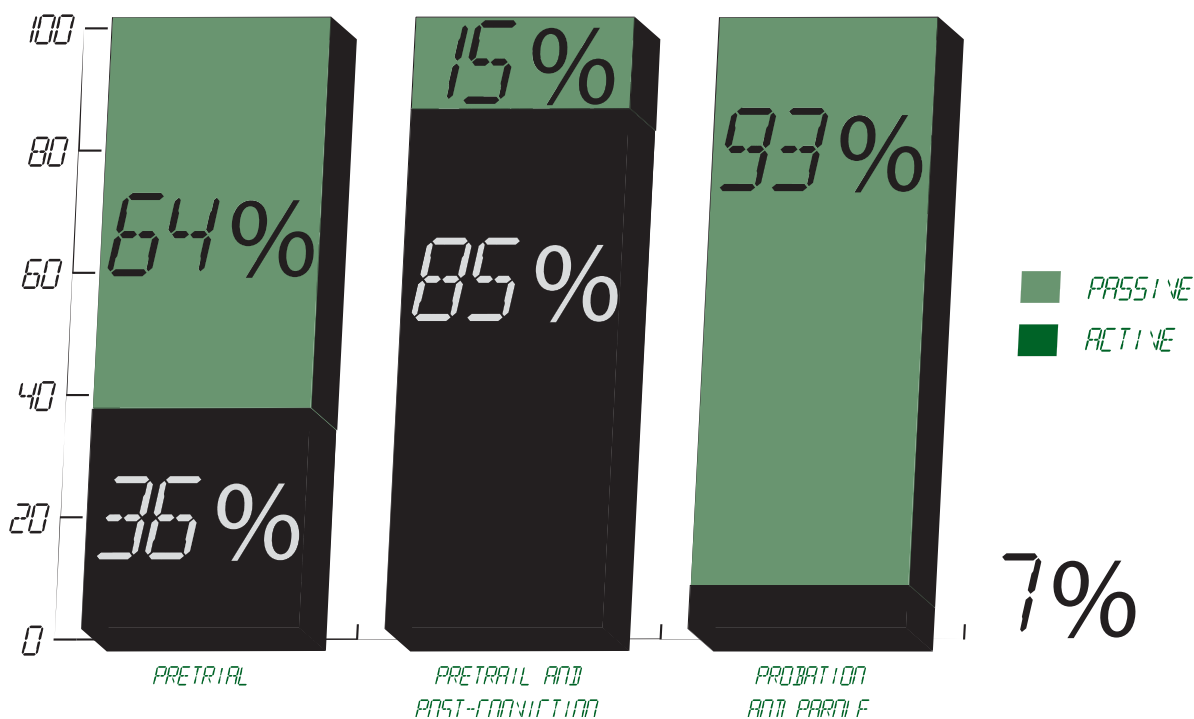
Another crucial factor is the agency's geographic area. Since *Active* and *Hybrid* GPS utilize cellular communications for the transmission of location data, an agency in a jurisdic-

tion that is primarily rural with poor cell reception would have little choice but to select a *Passive* system. Such considerations represent just the tip of the iceberg for an agency implementing GPS.

In addition, the relationship an agency establishes with their chosen vendor is crucial to the planning and ongoing operations of a supervision program that incorporates GPS. Such things as disaster recovery plans, frequency of hardware and software updates and financial responsibility for lost or stolen equipment are all important factors to consider when negotiating a vendor contract. One of the primary lessons agencies learned related to vendors was the need for service level agreements explicitly stating requirements such as alert response times, equipment availability and failure handling. Without such constraints, an agency has little recourse if they find their vendor's support to be inadequate.

The GPS tracking industry is unique in that the vendor typically retains ownership of the GPS location data that is generated. This may be troublesome for an agency if they change vendors or their vendor subsequently goes out of business. As correlation of crime data with GPS location data becomes more common, a lack of data ownership may become a problem for agencies wishing to access it for historical purposes. It is easy to

Figure 4. GPS Type by program type



envision a situation in which an agency would need to review a supervisee's GPS data in order to charge or exonerate them from a crime that occurred several years previous. Without access to the location data, such analysis becomes impossible. Even when access is possible, it could become a costly proposition if vendors decide to impose extra charges for sharing data. Agencies should therefore ensure that such access privileges or data ownership requirements are clearly stated in their vendor contract.

Finally, an agency must establish clear policies and procedures that help mitigate agency liability by defining defendant/offender violations, victim notification processes and staff workloads. Such policies serve as the foundation for a program's operations and are essential to the successful management of GPS.

### GPS TOOL EVALUATION AND USE

#### FUNDING AND COST FACTORS

In many jurisdictions, a GPS program is proposed as a money saving alternative to incarceration (Table 1). However, agencies must keep in mind that GPS costs are not simply the daily fee per defendant/offender that is often quoted by vendors. Funds for additional staff or overtime are often necessary to accommodate shifts in workload and these must be considered

as part of the overall cost of implementing GPS.

In some programs, defendants/offenders must pay a fee to participate in the GPS program. Agencies differ in their approach to such fees, with some budgets funded entirely by participant fees. However, such programs run the risk of being under-funded, as collection rates are often less than fifty percent. Although *Active* GPS vendor fees are more expensive than *Passive* GPS, some agencies collect the same fee regardless of GPS type in order to help offset such low collection rates. Other agencies charge supervisees a nominal monthly fee, but receive additional funding through other sources. In any instance where fees are collected the agency must consider the administration and collection of such fees as an integral part of their program.

### STAFFING

Since each agency's size, mission and reason for implementing GPS differs, it is impossible to identify an ideal staff size and scenario for a GPS program. However, our study did highlight some important considerations in the area of staffing. Many agencies do not operate with GPS-only caseloads. For instance, GPS may be part of an overall sanctioning program for the sex offender or intensive supervision populations of an agency. In such instances, GPS is usually a small percentage of the officer's

**Table 1. Average Supervision Costs Based on Interviewed Agencies**

SUPERVISION TECHNIQUE	TECHNOLOGY TYPE	DAILY VENDOR COST	TOTAL DAILY COST
Reporting Kiosks	Supervisee Check-In	\$1	\$8
RF Landline Home Monitoring	Home/Curfew Detection	\$2	\$9
Secure Continuous Remote Alcohol Monitoring (SCRAM)	Alcohol Monitoring	\$5	\$12
RF Cellular Home Monitoring	Home/Curfew Detection	\$6	\$12
<i>Passive</i> GPS	Delayed Location-Based Tracking	\$6	\$13
<i>Active</i> GPS	"Real-Time" Location-Based Tracking	\$8	\$15
Incarceration	N/A	N/A	\$82



overall caseload. This can be challenging for staff that must operate an otherwise “normal” caseload while also managing the additional tasks of one or more GPS defendants/offenders. In addition, since the officer may use the GPS system irregularly, there can be a steeper learning curve. However, GPS-only case-loads can also be challenging for officers who must manage all the alerts and technical problems for their entire caseload. In either case, agencies often supplement the staff or provide over-time compensation when GPS is implemented. Also, agencies must look at their after-hours response needs to determine if a monitoring center or on-call staffing schedule is necessary to meet the objectives of their program.

Staff training is usually offered by the GPS vendor; however, staff must also be trained on agency-specific policies and procedures as well. Agency policy training should include specific protocols for dealing with various types of alerts. Many vendors will work with the agency to include policy specific training as part of the overall equipment training.

## OPERATIONS

One of the most challenging aspects of GPS operations is determining which defendants/offenders are most suitable for GPS supervision. Depending on the agency’s supervision type (pretrial, probation or parole), suitability decisions may not be left to the agency. Judicial orders, parole board orders or legislation may mandate the offenses for which defendants/offenders are placed on GPS. However, in many cases the agency does decide the appropriate type of GPS including *Active*, *Passive* or *Hybrid* that will be used. Some typical offenses for which supervisees are placed on GPS monitoring include:

- Sex offenses
- Domestic violence offenses
- Restraining orders
- Offenses with other types of victims
- Substance abuse offenses
- Violent offenses (i.e, armed robbery or burglary), and
- Gang related offenses

An agency, judge or parole board may use the following additional criteria to determine GPS suitability:

- Defendant/offender’s case history
- Potential risk to community
- Nature of offense
- Length of time between crimes
- Polygraph results
- Screening and risk assessment tool results (e.g., Static99 or

other sex offender risk tool)

- Lack of previous issues while on EM or GPS (e.g., no equipment tampering), and
- For pretrial, the defendant’s perceived flight risk

In pretrial situations many of these same types of offenses and criteria will warrant GPS; however, the presiding judge may order GPS for virtually any type of defendant. This is often done in an effort to provide assurance of a defendant’s return to court using the least restrictive means of supervision that are consistent with victim and public safety.

Agencies occasionally observe a disconnect between the supervision agency and judiciary regarding the best GPS candidates. This is especially true in release orders as a result of jail or prison overcrowding. In these cases, agencies suggest that the primary criterion for putting a defendant/offender on GPS is often the need for more jail or prison space.

Although the criteria that agencies use to select GPS supervisees is often sufficient and seems to work well, there is a general impression among agencies that the methods are continuing to evolve. Overall though, agencies wish they had started with a better concept of which defendants/offenders are the best candidates for GPS. This would not only help with the success of a program, but also with setting the expectations of the public and other stakeholders with regard to GPS monitoring.

Once supervisees are identified as candidates for GPS, there may be factors limiting the agency’s ability to impose GPS. These can include lack of residence, lack of land-line phone or an inability to pay GPS fees. Agencies may place a defendant/offender on *Active* GPS in lieu of *Passive* GPS if there is not an available phone line or they may require that the supervisee report to the agency office on a regular basis to download their GPS data.

Many criminal justice stakeholders external to the supervision agency have an interest in programs that use GPS. Law enforcement and supervision agencies often collaborate by sharing crime scene and defendant/offender GPS data. By reviewing supervisee location points against mapping data from crimes, law enforcement personnel can exonerate or identify potential suspects from the community’s GPS defendants/offenders. Some vendors provide such automated crime correlation features in their GPS software. Additional collaboration occurs when agencies notify law enforcement in the event of victim zone incursions or when issuing warrants. Agency efforts to work with local law enforcement can have a positive effect on how GPS is viewed by law enforcement.

# COVER STORY

Agencies must also communicate with judges, lawyers, parole boards, the legislature and the public. *The main purpose of such communication is to educate all of these stakeholders on what GPS can and cannot do.* There are often misconceptions on the part of many stakeholders that GPS is like an air traffic control system, with agency staff monitoring every bleep and flash on a screen in real-time. Such monitoring would be prohibitively labor intensive and provide little return for the time expended. GPS systems are designed on an exception basis; meaning that specific parameters are defined for each supervisee and when those are violated, an alert occurs. Agencies review these alerts and determine an appropriate response or action.

## EQUIPMENT INVENTORY AND MAINTENANCE

GPS equipment maintenance is essential to the continued operation of any GPS supervision program and consists of battery replacement and the repair or replacement of other components. In most cases the tamper-resistant features of the equipment prevent agency staff from conducting the maintenance onsite. Therefore when repair or replacement is needed, staff send the equipment to the vendor/manufacturer. With such practices, agencies must retain local equipment inventory in order to maintain operations. The inventory is typically between 15-30 percent of the total units in use by the agency.

We found that obtaining ample equipment inventory in a timely fashion is an ongoing struggle for agencies. In many cases, the inventory management features of the vendor software are inadequate for current inventory practices and lead to frustration among agency staff. The purpose of maintaining equipment inventory on-site is to establish a locally available surplus based on expected or known equipment shortfalls. These shortfalls may be a result of equipment failure, battery replacement or lost/stolen equipment. Depending on agency policy, when equipment shortages occur, defendants/offenders are either supervised without GPS or remain incarcerated while awaiting equipment.

Inventory problems are exacerbated for large, geographically dispersed agencies that may need inventory at multiple regional sites. Some vendors monitor overall inventory numbers without regard for regional realities. For instance, Region A may have an excess of equipment, while Region B needs additional units. The vendor may interpret this situation as the agency as a whole having sufficient quantities, therefore the vendor is meeting their contractual inventory commitment. One agency mitigates this problem by having each region work with the vendor to manage

inventory at the local level; however, this may lead to agency-wide oversight issues.

Agencies were also disappointed with the vendor inventory policies and inventory tracking capabilities of the software. In most cases, the software does not provide a seamless view of the equipment inventory status. For example, most systems track equipment as either being under the control of the vendor or the agency. However, in reality there is an “in-transit” status that occurs due to the frequent number of units that are sent back and forth between the agency and vendor for repair or replacement. Agencies indicated that much of their excess inventory ends up being unavailable because it is actually in-transit.

The need to track the numerous GPS equipment components presents another problem for inventory control. Because a single supervisee is actually assigned three separate components (or two in the case of one-piece units), this creates an additional inventory burden on agencies. A complete multi-piece GPS set includes a receiver, bracelet and charger. Agencies and vendors track each of these pieces separately in the inventory. While this is beneficial when it comes to replacing a single component in a set, it does create additional tracking requirements from an inventory perspective.

The GPS defendant/offender tracking market is growing and vendors are continually updating their products in an effort to take advantage of recent technological developments. The frequency with which an agency receives hardware and software updates should be defined in their unique vendor contract. Depending on the terms, an agency may automatically receive hardware updates or they may need to renegotiate the contract to receive new hardware. In most cases the software updates are included as part of the overall daily service fees.

## TECHNOLOGY RESEARCH

In addition to the agency interviews, we surveyed vendors regarding what features they offered with their GPS products. We also researched the future of GPS and other location-based tracking technologies that may have potential in the community supervision market.

Except for perhaps the mousetrap and the paper clip, most technologies evolve over time. This evolution is observable both within the base technology itself (e.g., integrated circuits continue to become smaller and faster) as well as in the range of application of the technology (e.g., integrated circuits are now commonplace in many aspects of our daily lives, even being found in such things as coffee makers and egg timers). GPS



technology is no exception.

Work on the basic GPS infrastructure began in 1973 by the Air Force Space and Missiles Organization. However, the last of the final 24 Navigation Satellite Timing and Ranging (NAVSTAR) constellation satellites did not become operational until twenty years later. Owned and operated by the U.S. military, GPS technology was used only sparsely for commercial purposes until May 1, 2000. On that date, President Clinton ordered the Selective Availability feature of the system to be permanently turned off. That feature caused intentional inaccuracies to be transmitted to all but military receivers that could decode certain information. At the time, this was a deliberate deterrent to the use of our satellites by foreign military forces. With Selective Availability turned off, the past few years have seen a dramatic increase in commercial applications of GPS.

The most widely known early application of GPS for consumers was in personal navigation systems, especially for automobiles. These are now becoming standard equipment in some new cars and very powerful hand-held units for hikers, bikers and travelers can now be purchased for under \$200. It is therefore no surprise that GPS technology found its way into the community supervision context. The first such system was produced in 1997, even before Selective Availability was disabled. Early units were large, heavy and not especially accurate, but they acquired an audience nevertheless. As with other commercially available GPS systems, the level of sophistication has increased steadily and is accelerating.

What is the future of GPS in community supervision? The answer mainly lies in an examination of emerging technologies that attempt to *augment* GPS and to overcome its *weaknesses*. As part of our study we looked at ways in which the GPS infrastructure itself is changing, as well as ways that commercial systems are integrating alternative electronic techniques that can help track individuals even when GPS fails.

### GPS WEAKNESSES

For most consumer GPS uses, a loss of functionality or accuracy may be an inconvenience, but it is generally not catastrophic. However, if GPS is being used to track a potentially violent individual, then failure to know that person's location could lead to something as serious as loss of life. Besides the obvious tragedy of such a situation, there could be serious liability issues for the responsible agency, as well as far-reaching consequences for future programs.

In other words, if you are tracking defendants or offenders,

you don't want to lose them! Unfortunately, GPS technology has several weaknesses that can cause exactly that to happen. The primary technical weaknesses include:

- GPS signals do not penetrate walls very well and therefore cannot usually be received indoors unless the receiver is near a window. So a person who legitimately enters a building to work simply cannot be tracked reliably. A tracked supervisee who is aware of this weakness may feel less "accountable" for actions they take while inside the building.
- GPS signals are often lost in mountainous areas and *urban canyons*. Effective GPS reception relies on constant visibility to at least three satellites. In general, the existence of 24 satellites in the NAVSTAR constellation makes this possible anywhere on the face of the earth. However, on a street surrounded by many tall buildings or in a rural canyon surrounded by close mountains, it is not uncommon for signals from one or more of the "visible" satellites to become obscured.
- GPS signals, like all "radio" signals, can be affected by disturbances in the earth's atmospheric layers. The *troposphere* is the atmospheric layer just above the earth's surface that is most affected by inclement weather. The *ionosphere* is the atmospheric layer high above the earth where satellites actually orbit. Inclement weather conditions in the troposphere as well as strong sunspot cycles producing increased solar radiation in the ionosphere can dramatically affect radio wave propagation speed, thereby introducing GPS inaccuracies because of the dependency on precise timing information from the transmitted signals.

### FUNCTIONAL STANDARDS AND PROGRAM EVALUATIONS

As part of the study we also researched the current state of GPS standards and program evaluations while also looking at how the two areas are related. Our research found that there are no national standards for using GPS in community supervision programs. In their absence, jurisdictions have had to develop their own criteria for their programs and for the selection and monitoring of vendors who provide GPS equipment and services. For the most part requirements are established from experience, logic, statutes and policies. However, as the use of GPS technology spreads in the field, formalized testing and evaluation will begin to appear which will ultimately assist in the development of standards.

Criminal justice policy makers and managers are confronted

with a number of issues when deciding whether and how to implement a community supervision program using GPS. Two of the fundamental issues they often consider are whether the program will work and if it will be cost effective. For example, will those supervised with GPS be more likely to appear for trial, avoid violations and/or have lower levels of recidivism than similarly situated defendants/offenders? Does the scientific evidence demonstrate that the GPS program helps the agency achieve its goals? Emerging literature evaluating the effectiveness of GPS in community supervision is relevant to this question. Therefore as part of our study we reviewed such evaluations not to assess whether GPS monitoring “works”, but to demonstrate why program evaluation and standards setting need to be related. We found that evaluations of the effectiveness of GPS are rare, contradictory and poorly designed and executed. Far more extensive, but only slightly better in design, are studies of the effectiveness of Electronic Monitoring (EM). These EM studies offer some insight into the design of program evaluations.

According to researchers (Renzema and Mayo-Wilson, 2005) there are approximately 160 studies of the relationship between EM and various measures of success (most often recidivism). However, these same researchers concluded that only three of these studies meet the usual scientific standards for evaluation research. The rest are so poorly designed as to render the results of unknown value. While researchers may interpret the results of these three studies differently, the important point is that the research on EM is weak and does not provide guidance to policy makers on important questions, beginning with the basic one; does GPS work? There have been no randomized controlled experiments of EM, despite the fact that such a design is understood as the gold standard for research and could be done if criminal justice stakeholders would authorize such a study.

However, even with better research designs, the evaluation of EM and GPS monitoring would be of limited value without attention to variations introduced by the standards used by each agency in the selection and monitoring of vendors and the actual operation of such monitoring. All of the research to date treats EM and GPS as a condition that is either present or absent, not as a condition that may vary in time and across jurisdictions. The failure to capture such variations in EM and GPS systems results in studies where the measurement of the intervention is unclear and possibly masks any effects – positive or negative.

Even the most recent study of EM and GPS monitoring conducted on data from Florida (Padgett, et. al., 2006) is subject to many of the same design criticisms. The most critical point

is the way this study measures EM and GPS monitoring. As the authors explain, “the variable of primary interest...in this analysis is whether the offender was placed on EM while on home confinement. Two dichotomous, time-varying variables were created to indicate time on EM in any given week – one for RF monitoring and one for GPS monitoring” (Padgett, et. al., 2006:70). Given this approach to measuring the primary independent variable in this study, there is no way to know if variations in the use of GPS monitoring that are sure to exist in time periods and locations (even within one state) had any impact on the results. What is needed is a process evaluation.

A process evaluation consists of a careful description of the characteristics of the intervention. For GPS use this would include the type of GPS, the operational use of GPS (e.g., conformance with standards, policies and procedures), the consistency of the use of GPS (e.g., down times, location failures and errors, tampering, etc.), management of the use of GPS and ways in which GPS monitoring is linked to other forms of community supervision and treatment. Simply treating GPS as a dichotomous variable leads to findings without regard for managers and policy makers who have to make decisions about the characteristics of GPS use, not just whether or not it will be used in a jurisdiction.

We found that those trying to decide how, if and when to implement GPS in community supervision programs cannot learn much from the existing evaluation literature. However, this does not mean that evaluations of GPS supervision should be abandoned or should not attempt to improve the overall understanding of the effectiveness of this technology. It is very likely that until the standards setting process is related to evaluation, standards will make competition fairer but their relationship to achieving an agency’s goals will remain unknown. Using better research designs and careful assessments of the way GPS systems are actually used will produce better evaluations and produce results that are helpful in the further development of standards for GPS monitoring.

## LESSONS LEARNED

One overall goal of the study was to identify lessons that supervision agencies learned in implementing and managing GPS. Some of the key lessons we derived from our analysis include:

**Agency Liability.** GPS raises new concerns for an agency in terms of their responsibilities and obligations to victims, the public and supervisees.

- The availability of defendant/offender location data implies



an obligation to act upon that data and a failure to act may result in liability.

- The timeframe within which location data becomes available may affect liability issues. This can influence the choice between *Active* and *Passive* monitoring.
- Clearly defined policies and procedures should be implemented to mitigate liability.
- Not all alerts will result in violations.

**Caseload/Workload.** Caseload reflects the formal number of cases an officer is assigned to supervise, while workload reflects the perceived relationship of the staff member and the task demands. GPS can influence both caseload and workload in unexpected ways.

- Workload issues can be impacted by the choice of monitoring model (i.e., vendor monitoring vs. in-house monitoring, vs. third-party monitoring) and GPS type.
- Active GPS workloads can be more time-consuming than Passive workloads. This should be considered when determining caseloads.
- Determining effective caseloads can be challenging during program start-up due to a steep learning curve with GPS.
- GPS data analysis cannot completely replace field work. Thus, officers are challenged to establish a new balance between field and desk activities.

**Defendant/Offender Accountability.** This reflects the officer's ability to review GPS data to determine where a supervisee has been and use this information to validate that they are meeting the conditions of their release.

- GPS data provides agencies with the opportunity to better supervise their defendants/offenders, not just "monitor" them.
- Officers can use GPS information proactively to help guide defendant/offenders to make better decisions.

**Defendant/Offender Impact.** This is how GPS affects the supervisee both in terms of behavior that the technology evokes, as well as constraints that the technology may impose.

- GPS equipment may be considered obtrusive or disruptive for a supervisee to carry. This can be especially challenging in relation to a defendant/offender's work situation (e.g., construction).
- GPS supervision may impose unique requirements on a defendant/offender. This includes such things as a requiring

a land-line phone or paying a fee.

**Crime Investigation.** This refers to agency collaboration with law enforcement to identify or exonerate GPS supervisees as potential suspects in a crime using GPS data.

- Agencies can provide GPS tracking data to law enforcement to assist with crime investigations.
- Crime scene investigation with GPS data requires a high degree of trust and cooperation between supervision and law enforcement agencies.
- Jurisdictions vary with respect to the admissibility of GPS as evidence.

**Deterrence/Behavior Modification.** The use of GPS to deter behavior is often a primary objective of legislation or policies enacting GPS programs.

- GPS cannot prevent a supervisee from committing a crime.
- The extent to which GPS modifies supervisee behavior is not known.
- Exclusion zones may deter a defendant/offender from association with victims and specific locations (e.g., known drug areas) while on GPS.
- The presence of GPS may discourage a defendant/offender's former associates (e.g., gang members) from having/maintaining contact with them.

**GPS Components and Technology.** This includes all aspects of the hardware and software of GPS monitoring systems.

- Equipment issues create a gray area in understanding an alert because agencies are often unable to differentiate between equipment issues and compliance issues.
- Equipment issues reduce confidence in the equipment among agency staff as well as other criminal justice stakeholders such as law enforcement, judges, lawyers and the public.
- GPS units being considered by an agency should be tested in realistic operational scenarios in order to assess their suitability. This is especially important when there are distinct geographical areas in the agency's jurisdiction.
- Vendor contracts should contain conditions specifying agency accessibility and use of GPS data.

**GPS Funding and Costs.** This reflects vendor costs, resources and equipment as well as comparisons of GPS with other supervision techniques.

- Although more expensive than RF and other EM tools, the

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data that GPS units provide is perceived as more valuable in terms of monitoring and supervising a defendant/offender's behavior.

- Establishing and maintaining an agency infrastructure that can support the number of GPS supervisees is critical and should be considered as part of the overall cost of a GPS program. This includes organizational structures as well as technological considerations such as computers and network capability.

**GPS Stakeholders.** These are defined as those organizations or persons that have a vested interest in the operation of GPS monitoring program. This includes the supervision agency, judges, lawyers, parole boards, legislatures, victims, the public and law enforcement.

- GPS cannot protect victims; at best it can provide an early warning of defendant/offender proximity.
- Many stakeholders have misperceptions of what GPS can

and cannot do; these often lead to inappropriate legislation, policies, procedures and judicial application of GPS.

- The orientation of the agency staff with respect to rehabilitation or enforcement will influence the way in which GPS policies are implemented.

**Standards and Evaluations.** Standards refers to the requirements an agency uses to assess whether GPS is operating as intended and evaluations consist of assessments of a program's effectiveness.

- Agencies contemplating implementing GPS monitoring as part of a community supervision program need to develop detailed statements of their goals and develop measurable definitions for these goals. This will facilitate the requirements specifications and selection criteria that will be used in establishing their program.
- Current evaluations of GPS in community supervision are of

**Table 2. GPS Monitoring Success Factors and Challenges**

Success Factors	Challenges
Defendant/offender compliance in handling the GPS equipment.	Defendant/offender mishandling of the GPS equipment either accidentally or intentionally.
Defendant/offender perception that the equipment's monitoring capabilities are far-reaching, accurate, and continuous.	Selection of appropriate GPS candidates.
High-quality GPS equipment and vendor provided services.	Determining appropriate caseloads for officers.
Well informed criminal justice stakeholders that understand the limitations of the technology.	Managing the misperceptions of criminal justice stakeholders as to the capabilities of GPS.
A well designed pilot program that grows slowly into a full-fledged GPS program.	Learning the idiosyncrasies of the equipment and managing equipment issues.
Specific, well-defined, and adhered-to policies and procedures.	Victim notification and communications.
Staff buy-in and dedication.	Imposing change in a supervision program by implementing GPS.



limited value. They have been poorly designed and have failed to address important variations in how GPS in community supervision is implemented.

- Agencies should consider cooperating with researchers in experimental research that incorporates agency standards for implementation and clear measurement of outcomes related to agency goals.
- Well developed standards provide a valuable tool for monitoring vendor performance and anticipating problems of implementation and operation.

**Training.** This consists of both vendor and agency specific training.

- Agency staff should receive “just in time” and/or refresher GPS training to mitigate knowledge loss.
- On-the-job training is an effective supplement to formal vendor and agency policy training.
- It is often difficult to ensure a consistent level of product competency across all staff, regardless of training.

**Vendor Relationship.** This indicates the agency’s association with the vendor both in terms of contract specifics and service needs.

- During the vendor selection phase, agencies should ensure that the prospective vendors have the required number of GPS units available for both start-up and anticipated growth.
- Vendor contracts should include provisions for a vendor’s inability to provide required equipment components in a specified timeframe.
- Agencies should request client references from the vendor and follow-up with them to determine their satisfaction with the equipment, service and vendor responsiveness. Such references can also serve as good resources during implementation to discuss issues and challenges.

In addition to specific lessons learned, supervision agencies identified several challenges and key factors for success (Table 2). These elements were common across all organizations, regardless of size, mission or duration of GPS use.

All of the information presented in this article and the full GPS study, is intended to help practitioners understand the complex nature of GPS operations and management. By sharing their experiences, the participating agencies wish to help their peers ensure program success while avoiding common mistakes. The use of GPS and other location-based tracking technologies

is likely to continue to grow, at least partly due to legislative mandates. Hopefully by leveraging the experiences of colleagues, agencies can take informed steps toward implementing and improving their own programs.

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# Improving Parolees' Participation in Drug Treatment and Other Services through Strengths Case Management

by Michael **Prendergast** and Jerome J. **Cartier**





## Abstract

In an effort to increase participation in community aftercare treatment for substance-abusing parolees, an intervention based on a Transitional Case Management (TCM) model that focuses mainly on offenders' strengths has been developed and is under testing. This model consists of completion, by the inmate, of a self-assessment of strengths that informs the development of the continuing care plan, a case conference call shortly before release and strengths case management for three months post-release to promote retention in substance abuse treatment and support the participant's access to designated services in the community. The post-release component consists of a minimum of one weekly client/case manager meeting (in person or by telephone) for 12 weeks. The intervention is intended to improve the transition process from prison to community at both the individual and systems level. Specifically, the intervention is designed to improve outcomes in parolee admission to, and retention in, community-based substance-abuse treatment, parolee access to other needed services and recidivism rates during the first year of parole. On the systems level, the intervention is intended to improve the communication and collaboration between criminal justice agencies, community-based treatment organizations and other social and governmental service providers. The TCM model is being tested in a multisite study through the Criminal Justice Drug Abuse Treatment Studies (CJ-DATS) research cooperative funded by the National Institute of Drug Abuse.

## *Introduction and Background*

A growing body of research indicates that prison-based substance-abuse treatment needs to be followed by community treatment in order to obtain optimal outcomes. Indeed, some studies have found that the reincarceration rates of prisoners who participate only in prison treatment are not much better than the rates of those who receive no treatment (Knight, Simpson, & Hiller, 1999; Martin, Butzin, Saum, & Inciardi, 1999; Prendergast, Wellisch, & Wong, 1996; Wexler, Melnick, Lowe, & Peters, 1999). The most notable improvement comes from participation in community treatment. As a result, the correctional treatment systems of many states comprise prison-based treatment and a system of contracted community programs that treat parolees coming out of prison programs. To link these two phases of treatment, there is also a planning and transition process between the end of a prison term and the early phase of re-entry to the community. Depending on the correctional system, referral to community-based treatment consists of either encouraging inmates with drug problems to volunteer for treatment or

## Six principles characterize strengths case management, as formulated by Rapp and Wintersteen (1989)

- The focus is on the strengths of the client, not on his/her pathology or deficits.
- The primary and essential component of this approach is the relationship between the case manager and the client.
- Interventions and services are determined by the needs and desires of the client.
- The preferred mode of intervention for the case manager is aggressive outreach.
- All people, regardless of their current condition or situation, are able to learn, grow and change and the case manager is able to assist in this process.
- The entire community including formal and informal resources, is viewed as a source of services, not as an obstacle.

mandating them to treatment as a condition of parole. Multiple agencies are involved in this process. Too often, however, the transition process breaks down.

The promised improvements in offender behavior from continued treatment in the community are realized only if prison treatment participants follow through on referrals to community treatment and remain in treatment for a minimum period of time, generally considered to be three months, although this will vary by client needs (Simpson, Joe, & Brown, 1997). Failure of parolees to enter post-release aftercare often results in relapse to drug use or reincarceration (Knight, Simpson, & Hiller, 1999; Martin, Butzin, Saum & Inciardi, 1999; Wexler, Melnick, Lowe & Peters, 1999). No-shows and dropouts are particularly a problem in states where participation in community treatment by parolees is voluntary and incentives to enter and remain in treatment are minimal. But even in states where community treatment is mandated, compliance with treatment requirements is lax, often because of high parole caseloads, poor coordination and communication between criminal justice and treatment personnel and low motivation and accountability on the part of the parolee. Although outcomes tend to be positive for those who complete at least 90 days of community treatment, low treatment participation rates are clearly a barrier to the overall effectiveness and cost and effectiveness of systems of offender treatment.

Some states with prison treatment programs also fund community treatment for parolees and have procedures in place that refer inmates to treatment before release. However, many parolees with referrals fail to show up for treatment once on parole and of those who do enroll in treatment, many drop out early in treatment. For example, data collected during evaluations of in-prison substance abuse programs in California indicate that 35 percent of parolees graduating from a prison-based program actually enter treatment upon release and 47 percent of those who enter treatment drop out within the first 90 days (Prendergast, Farabee, & Cartier, 2005). Thus, there is a need to improve the transition process from prison treatment to community treatment to increase the likelihood that inmates with a referral to community treatment enter their assigned treatment placement and remain engaged in treatment for a reasonable length of time. Participation in treatment is underscored by the growing recognition that substance abuse is a chronic disorder that often requires long-term treatment and management (National Institute on Drug Abuse, 2007).



Successful transition to community treatment is likely to result from several processes:

- enhancing the motivation of the client during in-prison planning for aftercare treatment
- fostering collaboration between treatment and criminal justice personnel during the client's transition process
- ensuring continuity of care between treatment services obtained in prison and those obtained in the community and
- providing initial post-release support to the client to facilitate admission to treatment and other needed community services.

These processes can be addressed at two levels: by improving the coordination and collaboration among correctional and treatment staff in the institution, community correctional and treatment staff, and other health, mental health and social service providers and by working directly with the client in developing specific goals and plans for transition to the community and assisting him/her during the crucial early months in the community. Of the various options that might be used to achieve these ends, case management is a promising approach because it is specific to care coordination across settings and is widely used to manage chronic conditions. Active case management strategies, in which the case manager begins working with the inmate and others in the institution and continues to do so in the community, may be an effective way to overcome both individual and systematic obstacles in the transition and re-entry process and to foster improved post-release adjustment.

The purpose of this paper is to describe a strengths-based case management model for use with parolees. The model is being evaluated in a multisite study that is part of the Criminal Justice Drug Abuse Treatment Studies (CJ-DATS) cooperative, which is funded by the National Institute on Drug Abuse (NIDA; Fletcher & Wexler, 2005). Five CJ-DATS Research Centers are involved in the study. The lead center is Integrated Substance Abuse Programs, University of California, Los Angeles, and the participating centers are Center for Drug and Alcohol Studies, University of Delaware; Center on Alcohol and Drug Research, University of Kentucky; Connecticut Department of Mental Health and Addiction Services; and National Development and Research Institutes, Incorporated.

### *Strengths Case Management*

A variety of case management models exist in social work (e.g., brokerage, assertive case management, clinical case management, intensive case management), but the model that is the focus of this study is "strengths case management" (Hall et al., 1999; SAMHSA/CSAT, 1998; Saleebey, 2002; Siegal et al., 1995). Like most case management models, the strengths model was originally developed for use with people with mental illness, but it has subsequently been adapted for substance-abusing treatment populations.

The effectiveness of strengths case management has been demonstrated in two NIDA-funded longitudinal studies. In two studies (Siegal et al., 1996; Siegal, Li, & Rapp, 2002), substance abuse treatment patients were randomly assigned to primary care plus standard aftercare substance abuse services or to primary care plus aftercare enhanced with strengths case management. The strengths approach was effective in increasing retention in treatment, which in turn had a positive impact on post-treatment drug use, criminality and employment (see also Siegal et al., 1997). In another randomized study of strengths case management, Vaughan-Sarrazin, Hall, and Rick (2000) found that substance-abuse clients with case managers reported receiving more treatment aftercare services and medical services than did clients who received standard treatment; there were no differences in the use of mental health services. Siegal and Rapp (1996) note that the strengths model has shown promise among substance abuse clients in two main areas: assisting them in obtaining resources and helping them to view the treatment process more favorably. Although no study (to our knowledge) has assessed the effectiveness of strengths case management with a parole sample, the studies cited above included a large percentage of clients who had been, or were, involved in the criminal justice system.

In addition to the fact that strengths case management has been evaluated positively in previous studies and that manuals and assessment forms are available, this approach has a number of advantages over other case management models for parolees re-entering the community. First, as opposed to the referral function of less intensive forms of case management, the strengths case manager is expected to be active in assisting

*Active case management strategies, in which the case manager begins working with the inmate and others in the institution and continues to do so in the community, may be an effective way to overcome both individual and systematic obstacles in the transition and re-entry process and to foster improved post-release adjustment.*

**Table 1. Characteristics of Strengths Case Management in Comparison with Low- and High-Intensity Case Management Models**

Characteristics	Low-Intensity Case Management	Strengths Case Management	High-Intensity Case Management
Duration	Time limited	Two months in prison; three months in community weekly; three months in community monthly	Indefinite
Frequency of contact	Infrequent (quarterly contact)	Two contacts in prison; weekly for three months, then monthly for three months	Frequent (daily contact)
Staff:Client ratio	High (1:75)	Medium (1:15-20)	Low (1:10)
Focus of services	Narrow; exclusive	Broad: treatment participation, client goals and needs as determined by Strengths Assessment and Goal Plan	Broad: inclusive
Type of service	Management of services provided by others.	Manage and coordinate services provided by other agencies	Provides all services
Availability	Office hours	Mainly office hours, some evenings and weekends	24 hours
Site of case management services	Office only	In office, in the community, and by telephone	In community
Client direction	Professionally directed	Largely client directed, subject to parole and treatment requirements	Client directed
Advocacy	Gatekeeper for systems (finds alternatives to requested services)	Case manager advocates for client to obtain access to services	Advocates for client (to gain access to services)
Training	On-the-job training	Project-provided training, with ongoing supervisory support	Advanced professional degree
Authority	No authority, persuasion only	No authority, use of persuasion only	Broad authority, administrative control
Team structure	Primary case manager with individual caseload	Case manager with individual case load	Full team mode: All case managers share all clients.



and advocating for the client, something which is needed during the crucial first months of parole. Second, strengths case management assists clients in becoming their own “case manager” by fostering self-sufficiency in seeking services and resources once case management services end. Third, strengths case management is less dependent on a team approach than more intensive (and expensive) forms of case management. Finally, the focus on strengths, assets, accomplishments and goal seeking seems particularly appropriate for clients who have experienced the negative influences and stigmatization of prison and who are attempting to maintain recovery and adjust to community living.

Using the list of case management characteristics presented by Ridgely and Willenbring (1992) and Hall et al. (2002), the strengths case management model can be compared with low intensity and high intensity case management models (Table 1).

Although case management is designed to favorably impact client outcomes, the nature of case management activities may also have systematic effects. Case management is a “boundary spanning” intervention. Boundary spanning is a concept in organization and management theory that refers to a task or series of tasks that requires communication and interaction among people within different agencies or systems who, because of contrasting goals, training or skills, belong to different language communities (Kerson, 2001). As such, it is expected that a case management intervention has the potential to change the communication and collaboration patterns among the personnel in the different agencies with which the client is involved. One might expect to observe measurable changes in the level and type of collaborative behaviors and the attitudes of key actors, suggesting some level of commitment to maintaining these collaborations.

### *The Transitional Case Management Model*

In the strengths case management model being evaluated, called “Transitional Case Management” (TCM), the goal is to increase the likelihood of successful transition from prison treatment to community treatment and to improve outcomes while on parole. There are three phases to TCM:

- A “Strengths Inventory” of the client’s accomplishments and resources and a plan for post-release goals is completed by the client and the case manager about two months prior to release.
- A case conference call with the client and significant stakeholders involved in the client’s transition to the community occurs about one month prior to release.
- 3Strengths case management, consisting of weekly and ad hoc meetings between the case manager and the client, occurs when the client re-enters the community.

### *Phase One: Strengths Inventory (pre-release)*

For a given client, the TCM intervention begins with participation in the Strengths Inventory session at about two months prior to release. This inventory lies at the core of the TCM model because it focuses on the positive behaviors and accomplishments of the client and lays the foundation for further work with the case manager. The primary focus here is to identify the client’s strengths as well as internal or external resources that he or she will use to facilitate participation in treatment and achieve other goals after release to the community. The objectives of this session include:

- Introduction of case manager to the client and an overview of the TCM model.
- Support for, and reinforcement of, the client’s motivation for entering and participating in community-based treatment.
- Identification of the client’s personal strengths and assets.
- Development or review of the client’s “Goals Plan” for aftercare services (which may have also been developed by the institutional treatment team).

The case manager introduces the Strengths Inventory to the client as a different way for the client to look at their situation. The case manager explains that, unlike many assessments, the Strengths Inventory focuses on the positive aspects of the client’s life. The Strengths Inventory contains nine life areas or domains (general life skills, finance, leisure, relationships, living arrangements, employment/education, health, both physical and mental, internal resources, and recovery/drug treatment). When addressing each of the life areas, the case manager allows the client to control the flow of information. The case manager begins the discussion by asking the client to provide an overview of positive aspects within each area before addressing specific strengths or accomplishments at length. The strengths case manager keeps in mind that many offender-clients will not be accustomed to discussing their positive strengths and accomplishments and will often revert to the problems and failures they have experienced. The case manager acknowledges these problems and failures and perhaps makes note of them, but re-directs the client’s focus back to positive strengths and accomplishments.

The case manager and client use the information from the Strengths Inventory to develop a Goals Plan that will serve as a foundation for their joint work in the community. The Goals Plan is separate from any institutional transitional plan or conditions of parole but may incorporate some, or all, of the components.

Although the primary focus of the Goals Plan is the continuation of substance abuse treatment in the community, it also includes additional goals and objectives that the *client* identifies as necessary for successful re-entry into the community.

The case manager makes note of all the goals and objectives identified by the client. Since TCM is a client-centered model, the case manager does not offer additional goals or objectives to the client, nor does the case manager make value judgments about the goals and objectives put forward by the client. The client is reminded that all goals and objectives need to be legal and ethical.

This session is also used to identify possible participants in the Case Conference Call (see below). This session ends with the case manager providing the client with contact information, discussing the scheduling of the first post-release meeting and addressing any remaining questions or concerns the client may have.

### **Phase Two: Case Conference Call (pre-release)**

After completion of the Strengths Inventory and Goals Plan, the case manager works with institutional transitional staff to schedule a Case Conference Call with the client and key people involved in the transition process. The call should occur between two to four weeks before the client is scheduled to be released from prison. The objectives of the Case Conference Call include:

- Increase in motivation of the client for entering and participating in community treatment and other services.
- Confirmation of information about the substance abuse treatment program to which the client has been referred.
- Review of the expectations of the client.
- Acknowledgment of responsibilities and commitments of transition team members including parole/probation, family members and others to the client.

In addition to the client, participants in the call may include, depending on the setting, the transitional case manager, institutional transition specialist, institutional treatment counselor, parole/probation officer, a representative of the receiving community treatment program, the spouse/significant other or key family member of the client and a 12-step sponsor. Specific topics for the conference call include:

- **Information about the treatment program to which the client has been referred** including program name, address, phone number, directions to the program, contact person, brief description of the program, transportation options, etc.
- **Verification of reporting instructions** to parole/probation and the conditions of parole/probation in general.
- **Discussion of the client's Goals Plan** and other plans for re-entry. The priority of the client's goals and objectives are presented along with the acknowledgment that the client will be expected to work with the case manager to set timetables

and initiate the necessary behaviors to accomplish stated goals and objectives.

- **Each person makes it clear what he/she expects of the client** after release. These expectations should reflect the client-identified post-release goals and objectives.
- **The client, in turn, discusses expectations of key actors**, including family members, parole/probation staff and treatment and program staff.
- **The case manager, treatment staff and family state their commitment** to fulfilling their roles in facilitating and reinforcing the treatment and transition process.

### **Phase Three: Community Strengths Case Management (post-release)**

The community services phase of the strengths case management intervention builds on the work begun in the institution. In the current model being tested (see below), community case management consists of three months of weekly contact between the client and the case manager, followed by three months of monthly contact. The primary persons involved in the post-release, community-based strengths case management are the client and the case manager. Depending on the client's social network and the goals and needs of the client, other persons involved would include community treatment staff, parole/probation staff, family members, 12-step sponsor and various social service agency staff. From a systems perspective, transitional case management is intended to facilitate collaboration between the client, parole/probation, community treatment, social services and family. The objectives of community strengths case management include:

- Increasing the client's motivation for participating in community substance abuse treatment and other services (as needed).
- Assisting the client in identifying and using their strengths and assets to achieve client-identified goals and objectives.
- Supporting the client in asserting "self" control over accessing resources.
- Advocating, when necessary on behalf of the client.
- Reducing barriers to the client's access to services.

The case manager's caseload is 15-20 clients (see Table 1). This approximates the expert-recommended individual caseload for a strengths model (Marty, D., Rapp, C. A., & Carlson, L., 2001). Immediately upon the client's release from the institution, the case manager maintains a minimum of 12 scheduled weekly contacts with the client to monitor access and utilization of services, especially substance abuse treatment. Although most of the contacts will take place in a designated transitional case management office, work on goals and needs may also be done over the phone or at a community substance abuse treatment



facility, a social services agency or other convenient and safe locations. Table 2 summarizes the main features of the three phases of the TCM model.

## Case Management Forms

The TCM model uses several forms for each stage of the intervention to be used as guides to individual behaviors as well as to document the process from initiation to completion. This collection of forms includes the Strengths Inventory and Goals Plan, the Objectives Plans, Barriers to Services and the Case Manager Checklist. These forms have been adapted from those developed by Hall and colleagues (Hall, Carswell, Walsh, Huber, & Jampoler, 2002) in their studies of strengths case management with substance abuse clients. (Copies of these forms can

be obtained from the authors.) The client's Strengths Inventory and Goals Plan guide the initial activities of the client and case manager in determining needs, establishing goals/objectives and identifying strengths and resources. The Strengths Inventory is used to remind the client of identified strengths that can be used to overcome barriers to goal achievement and access to services. It is a "living document" that is updated as additional strengths are gained or identified during the case management sessions. Objectives Plans are developed from the Goals Plan and are used to guide the interaction in each session. The Objectives Plans document the agreed-upon objectives and activities that the client, case manager or other individuals need to complete in order to achieve the stated goals. Although the stated goal may be broad in nature (e.g., enter treatment, get a job, go back

Table 2. Phases of Transitional Case Management for Substance-Abusing Parolees

	Phase 1: Strengths Inventory	Phase 2: Case Conference Call	Phase 3: Strengths Case Management
Who	Client and Case Manager	Client, Transitional Case Manager, Prison Treatment Counselor, Transitional Specialist, Parole/Community Corrections Agent, Community Treatment Rep, family members and a 12-step sponsor.	Client and Case Manager; other service agency staff as needed
What	Orientation, strengths inventory, goal plan development, conference call planning.	Case Conference Call	Strengths case management activities in the community
When	Approximately two months prior to release.	Approximately one month prior to release	Weekly contacts for the first three months post release and monthly phone calls for the subsequent three months.
Where	Institution	Institution	Case Manager's office; in community
Why	Sets the foundation for future case management activities; heightens motivation for community treatment	Defines roles and expectations; heightens motivation for community treatment	Promotes client retention in substance abuse treatment and develops client skills to achieve goals.

to school), the objectives constitute more specific activities designed to move the client toward the goal (e.g., complete intake at treatment agency, fill out job application, apply for student loans). The intent is to have the client take ownership and responsibility for the objectives and activities.

If barriers to services are identified by the client, the case manager makes note of them on the Barriers to Services Form. The purpose of barrier identification and documentation is to assist the client in prioritizing or revising the activities necessary to achieve the stated goals. Barrier identification also allows the case manager to determine whether the client may benefit from more intensive advocacy efforts.

The Case Manager Checklist and the Individual Services Record are designed to provide the study with the quantitative data needed to measure the dosage and intensity of services received by each client (for the concept of dosage in case management, see Huber, Hall, & Vaughn 2001; Huber, Sarrazin, Vaughn, & Hall, 2003). The study's protocol requires a minimum of 17 client/case manager contacts (i.e., two in the institution, 12 during the first three months post-release, and one for three months thereafter). The Case Manager Checklist is used to record the occurrence of each session. It also provides the case manager with a step-by-step review of the components of each of the 17 scheduled client sessions and documents progress. The Individual Services Record (ISR) is used by the case manager to document all of contacts with and services rendered to, or on behalf of, the client. This form identifies the mode of contact (i.e., in person, by phone, etc.), all of the involved persons, and the amount of time spent by the case manager to provide the service.

## Conclusion

Through the Criminal Justice Drug Abuse Treatment Studies (CJ-DATS), a research cooperative funded by the National Institute on Drug Abuse, the TCM model for assisting in the re-entry process for substance-abusing parolees is being tested in a multisite study using an experimental design. The study will assess whether the TCM model improves parolee outcomes compared with standard parolee processes.

If the TCM model proves to be successful, its wider adoption would increase the likelihood that offenders follow through on referrals to community treatment, engage in treatment for longer periods of time and receive services that will support successful re-integration. By involving staff from various agencies in the prison-to-community transition process, the TCM intervention may also strengthen collaboration between the criminal justice system, the community treatment system and other health and social service systems to further enhance the offender's ability to achieve and maintain a successful transition from institution to community.

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This study was funded under a cooperative agreement from the U.S. Department of Health and Human Services, National Institutes of Health, National Institute on Drug Abuse (NIH/NIDA). For further information, see the CJ-DATS Web site at [www.cjdats.org](http://www.cjdats.org).

**Michael Prendergast is Director of the Criminal Justice Research Group at the UCLA Integrated Substance Abuse Programs (ISAP), in Los Angeles, California. Jerome Cartier is the Study Director for Transitional Case Management (TCM), and a National Institute on Drug Abuse funded pilot called Gender Responsive Treatment for Women in Prison at UCLA in Los Angeles, California.**



# WHAT DO THE OFFICERS SAY?

Understanding Job Safety and Satisfaction from the Officers' Standpoint

*Officer safety and job satisfaction have become increasingly important topics, given the changing nature of probation clients and the looming crisis of a limited number of individuals available for the workforce. Although these topics have been receiving increased attention, such as the National Institute of Corrections broadcast on developing the workforce,<sup>1</sup> little attention has been paid to the line officer's view on these issues. In order to address this lack of information the Supervision Officer Sub-Committee of the Probation Advisory Council of Texas surveyed probation officers regarding their thoughts on officer safety and their overall job satisfaction.*

by Brandon Sheeley

## Methodology

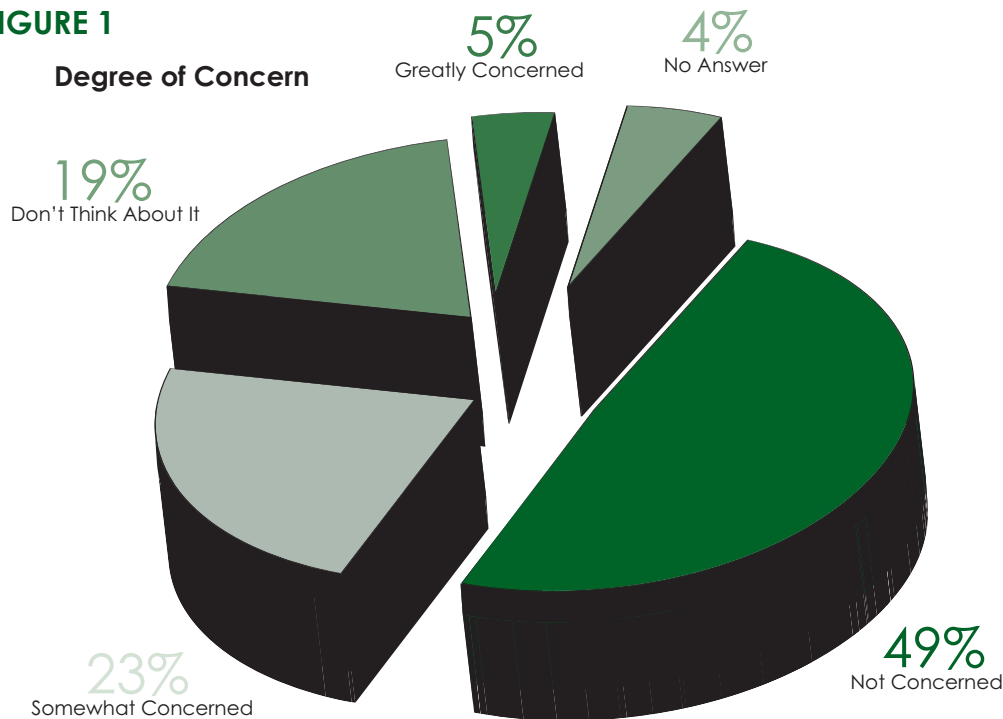
The survey was initially developed by a committee of probation officers with input from academic advisor Dr. Steven Cuvelier with Sam Houston State University. The draft survey was then piloted at a statewide probation conference, with feedback being used to finalize survey questions and response formats. The final survey included 16 questions that included both multiple choice and open-ended questions. Five questions collected demographic and caseload information, three questions related to job satisfaction, and four questions related to safety and training. The remaining questions involved issues not addressed in this article. The surveys were sent to all 254 counties in the State of Texas and the 3300 Community Supervision Officers were asked to return their anonymous responses through standard mail, fax or e-mail.

A total of 457 completed surveys were received. This represents about 7.22 percent of the officers from across the State. Results were tabulated using frequency counts and percentages. As many participants selected more than one response, some percentages equal greater than 100.

## Officer Safety

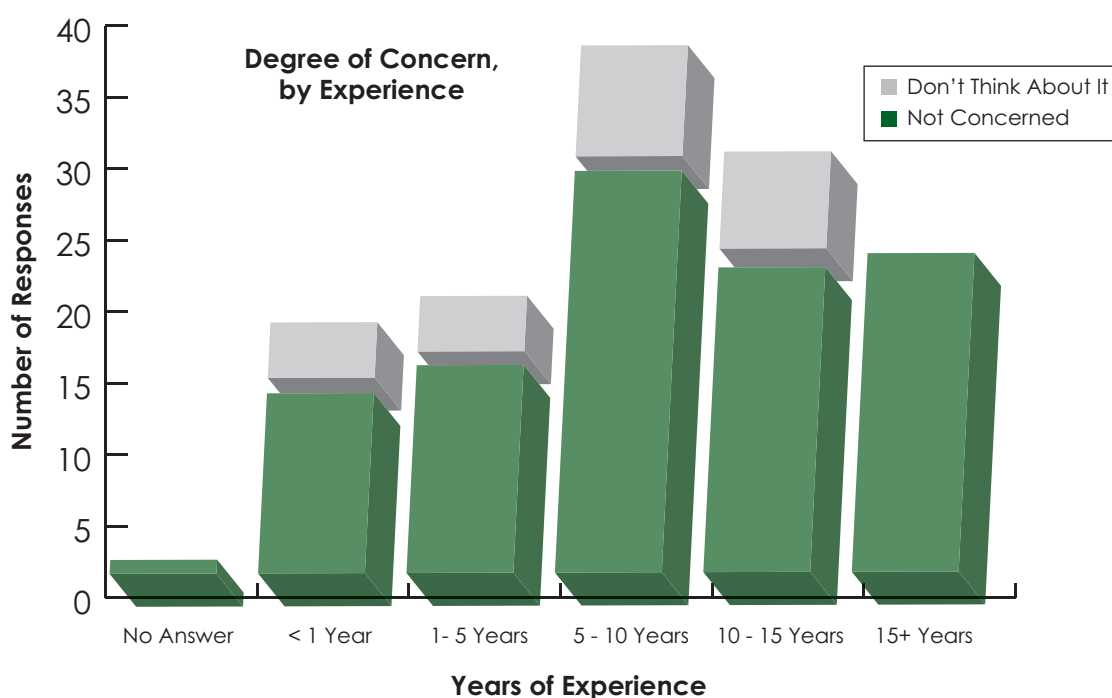
The officer safety dimension focused on three areas: level of concern for safety, frequency of threatening incidents and needed changes for improving officer safety. Figure 1 shows that the majority of respondents reported they are either "greatly concerned" or "somewhat concerned" about their safety while slightly more than a quarter of respondents stated they are "not concerned" or "don't think about it." Additionally, almost half of respondents said they had been

**FIGURE 1**



involved in a situation where they were concerned for their safety. As shown in figure 2, a disturbing aspect of the results is that more than a quarter of the respondents who said they were "not concerned" or "did not think about" safety issues had experienced threatening incidents, with almost half of them experiencing multiple incidents of threatening situations.

**FIGURE 2**





**Table 1: Safety Issues Reported by Respondents**

Aggressive/Intimidating Behavior	62	14 percent
Verbal Threats/Verbal Aggression	37	8 percent
Did not Report Specifics	31	7 percent
Neighborhood/Secluded Area	31	7 percent
Presence of / Under the Influence of Drugs/Alcohol	25	5 percent
Weapon Present	21	5 percent
Mental Health Issues	18	4 percent
Animal/Animal Attack	16	4 percent
Groups of People	15	3 percent
Physical Contact	10	2 percent
Warrant Execution	10	2 percent
Building Security	9	2 percent
Dangerous Client/Violent Offense	6	1 percent
Witness Illegal Actions/Suspicious Activity	5	1 percent
Gangs	2	0.44 percent
Transporting Clients	1	0.22 percent

It might be construed that probation work is not dangerous, after all 53 percent of respondents said they had never been in a situation where they were concerned for their safety. But it is more likely that those who report no incident of concern are not even aware of the potential danger they face on a daily basis. Additionally, officers often become complacent about safety issues. As figure 2 demonstrates, officers with more than 5 years experience were much less concerned with safety than those new to the field. One reason might be that their experience is working against them: because they have worked for several years with few to no instances they begin to feel that nothing will ever happen. Officers might also mistakenly feel that having good rapport with their clients would prevent an offender from acting out. This false sense of security can be very dangerous in the field of probation.

Regardless of whether officers are aware of the danger or not, there is no question that probation work can be dangerous. As seen in Table 1, the most common safety issues reported were aggressive/intimidating behavior and verbal threats/aggression. Instances involving physical contact and presence in dangerous situations were also reported. Several officers reported details of their experience. One officer stated “several times in field contacts, I have felt my safety was compromised. I have walked into gang meetings, defendants have moved and the new residents have been unhappy to have me on the doorstep, defendants being arrested have removed knives from their pockets for the deputy and several other uncomfortable incidents.” Another officer stated “[I] had a person in the office that was out of control and cussing at me and reached over and grabbed a paper out of my hand.” Finally, an officer reported “I was leaving the building and there was a drive by shooting going on before I got out the front door.”

While most officers would agree that field work is the most dangerous part of the job, most officers cited increasing building security as the most needed change to improve job safety. Other suggested areas for improvement included additional safety training, designating specialized officers to conduct field visits and carrying firearms.

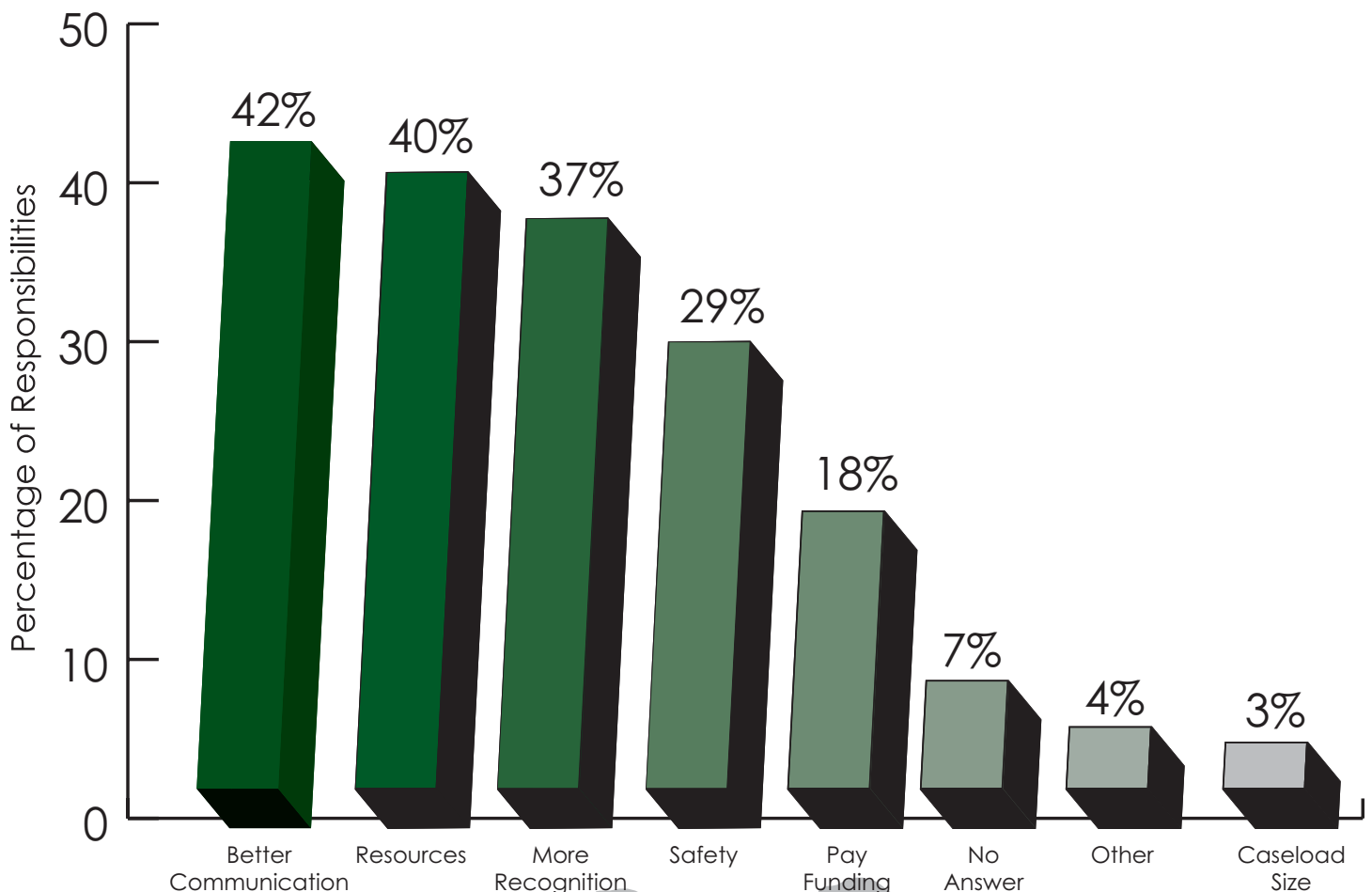
One major factor influencing officers' opinions on safety is the administration's view on safety. If those in supervisory positions make safety a priority in the workplace, it is more likely that officers would also view safety as a priority. In this survey, 5 of the 11 respondents who were in administrative positions stated they were "not concerned" with their safety. Because administrators can have such a strong impact on their staff, it is essential that they not minimize the risks involved, and that they encourage their officers to make safety a priority. By adopting this philosophy employees will not only have an increased level of awareness, but also an increased level of job satisfaction, knowing that the administration is looking out for their well-being.

Overall the findings on safety emphasize the need for continual discussion of safety issues and ongoing safety training to ensure that safety is at the forefront of everyone's mind. By changing office policy to require safety training on an ongoing basis (such as annual training) administrators can help keep the mental awareness levels high. On a larger scale, by developing an incident reporting system we can help document the number and types of safety incidents and use this information to educate officers. Such data could also help us develop better training and better policies, thereby continuously improving our organizations.

### Job Satisfaction

The results regarding job satisfaction were quite positive: 80 percent of respondents stated they have "pretty good" to "excellent" job satisfaction and only 14 percent reported below average satisfaction. Surprisingly, "better communication", "more resources" and "more recognition" (see figure 3) were the top three needs indicated by the respondents. On a separate question

**FIGURE 3**  
**Job Satisfaction Needs**



officers also reported that they would like to see communication and recognition addressed. This data was further supported by numerous written comments. One officer said “Recognition: I feel there is almost no positive feedback except for our annual evaluation. We tend to get harped on when we do things wrong, but there is little to no recognition for going a good job every day. Mostly, I rely on my intrinsic motivation to do a good job and rest in the knowledge that I’m doing my part to protect the community.” Another comment was, “The more an employee feels appreciated and needed, the more satisfied they will be and a better job they will do.”

Clearly officers feel a strong need for both increased positive recognition and better communication. For administrators this should be welcome news. Improving these areas is all but cost-free! Consider the potential increases in morale and, as one officer stated, reductions in turnover might also be realized.

It cannot be overlooked that many officers did identify pay as an issue, but most recognize that this must be addressed at a public policy level. As one officer put it, “We are professionals who have the responsibility of helping to protect the community, yet we make far less than teachers, police officers, social service agencies, or county officials who have less education and training.”

As availability of workers declines, job satisfaction will become ever more critical. We will not be able to attract and retain quality officers if they are not satisfied with their job duties and work environment. This survey suggests that job satisfaction can be greatly increased through simple, low cost interventions such as providing more positive feedback.

## Conclusion

This survey brings up serious concerns regarding the lack of appreciation for the dangerous work that officers do. The reality is that probation officers deal with the same defendants that law enforcement agencies deal with, yet probation officers manage the dangers of their job with far less training and in many cases less awareness of these dangers than law enforcement. In particular, these results suggest that officers become complacent to the issue of safety as their experience in the field progresses. It is our duty to be more proactive in ensuring safety through continued education in mental awareness, self-defense tactics, and the overall potential hazards that come with being probation officers. By providing continuous training we can keep safety in the forefront of officer thinking, which will help them recognize and avoid situations while also having them properly trained to act if necessary. By taking officer safety and building security seriously we also show officers that their work is important and

the job they do is appreciated. Similarly, we can improve our officers’ overall job satisfaction by providing the recognition they deserve but rarely receive.

Ultimately, the survey results suggest that heightening the emphasis on officer safety, improving the lines of communication, and increasing recognition of officers can positively impact our organizations and the field as a whole. 🙌🏽

***Author Note:** The Supervision Officer Sub-Committee of the Probation Advisory Council of Texas is to be commended for their work developing and distributing the survey. I would also like to acknowledge the assistance of Dr. Steven Cuvelier of Sam Houston State University and Dr. Melissa Cahill, formerly of the Collin County Community Supervision and Corrections Department.*

## Endnotes

<sup>1</sup> National Institute of Corrections. *FutureForce: Building a 21<sup>st</sup> Century Community Corrections Workforce*. [www.nicic.org](http://www.nicic.org) Accession # 020487

*Brandon Sheeley is a Supervisor and Licensed Dependency Counselor with the Houston County Community Supervision and Corrections Department in Crockett, Texas.*



## SUPERVISION OFFICER SUB-COMMITTEE SURVEY

1. Approximately how many cases do you supervise?

Direct \_\_\_\_\_

Indirect \_\_\_\_\_

2. Do you have a specialized caseload? If yes please explain. \_\_\_\_\_

3. How long have you worked as a Supervision Officer?

- |   |                                      |
|---|--------------------------------------|
| <input type="checkbox"/> Less than 1 year | <input type="checkbox"/> 10-15 years |
| <input type="checkbox"/> 1-5 years        | <input type="checkbox"/> 15+ years   |
| <input type="checkbox"/> 5-10 years       |                                      |

4. How Many CSOs work in your department?

- |                                |                                |
|--------------------------------|--------------------------------|
| <input type="checkbox"/> 1-5   | <input type="checkbox"/> 26-50 |
| <input type="checkbox"/> 6-15  | <input type="checkbox"/> 51-75 |
| <input type="checkbox"/> 16-25 | <input type="checkbox"/> 75+   |

5. How many total employees (CSOs and support staff) work in your department?

- |                                |                                 |
|--------------------------------|---------------------------------|
| <input type="checkbox"/> 1-10  | <input type="checkbox"/> 51-75  |
| <input type="checkbox"/> 11-25 | <input type="checkbox"/> 75-100 |
| <input type="checkbox"/> 26-50 | <input type="checkbox"/> 100+   |

6. How would you rate your level of job satisfaction?

(CHECK ONE)

- |  |  |
|--|--|
| <input type="checkbox"/> Poor          | <input type="checkbox"/> Above Average |
| <input type="checkbox"/> Below Average | <input type="checkbox"/> Excellent     |
| <input type="checkbox"/> Pretty Good   |  |

7. What improvements could be made to help you feel more satisfied with your job? Check the one or ones that most apply.

- |  |                                   |
|--|-----------------------------------|
| <input type="checkbox"/> Better Communications | <input type="checkbox"/> Safety   |
| <input type="checkbox"/> More Recognition      | <input type="checkbox"/> Resource |

Other: \_\_\_\_\_

8. In your opinion what are the most important issues (regarding community supervision) that need to be addressed at the State Level? Check the one or ones that most apply.

- |  |  |
|--|--|
| <input type="checkbox"/> Safety        | <input type="checkbox"/> Pay/Funding       |
| <input type="checkbox"/> Caseload Size | <input type="checkbox"/> Lack of Resources |

Other: \_\_\_\_\_

9. What are some of the areas of greatest need for the clients in your area? Check the one or ones that most apply.

- |  |                                     |
|--|-------------------------------------|
| <input type="checkbox"/> Transportation            | <input type="checkbox"/> Housing    |
| <input type="checkbox"/> Substance Abuse Treatment | <input type="checkbox"/> Employment |

Other: \_\_\_\_\_

10. What do you consider the best program or tool that you or your department utilizes to assist your Clients? Check the one or ones that most apply.

- |  |  |
|--|--|
| <input type="checkbox"/> Cognitive Program | <input type="checkbox"/> Mental Health |
| <input type="checkbox"/> Officer/Personnel | <input type="checkbox"/> CSR Program   |

Other: \_\_\_\_\_

11. What are some topics that you would like to see more training offered on? (I.e. Safety, Drugs, Interviewing....) Check the one or ones that most apply.

- |  |                                       |
|--|---------------------------------------|
| <input type="checkbox"/> Legislative Updates | <input type="checkbox"/> Interviewing |
| <input type="checkbox"/> Substance Abuse     | <input type="checkbox"/> Safety       |

Other: \_\_\_\_\_

12. How would you rate your sense of personal safety while performing your job duties? (Check one)

- |   |   |
|---|---|
| <input type="checkbox"/> Greatly Concerned  | <input type="checkbox"/> Not Concerned        |
| <input type="checkbox"/> Somewhat Concerned | <input type="checkbox"/> Don't think About it |

13. Have you personally ever been involved in a situation where you were concerned for your safety?

- |                             |                              |
|-----------------------------|------------------------------|
| <input type="checkbox"/> No | <input type="checkbox"/> Yes |
|-----------------------------|------------------------------|

please explain \_\_\_\_\_

14. What changes need to be made to improve job safety?

Check the one or ones that most apply.

- |  |  |
|--|--|
| <input type="checkbox"/> Field Officers    | <input type="checkbox"/> Officer Safety Training |
| <input type="checkbox"/> Building Security |  |

Other: \_\_\_\_\_

15. How did you hear about the Supervision Officer Sub-Committee? Check the one or ones that most apply.

- |                                     |  |
|-------------------------------------|--|
| <input type="checkbox"/> SOC Member | <input type="checkbox"/> Conference        |
| <input type="checkbox"/> Email      | <input type="checkbox"/> Never heard of it |
| <input type="checkbox"/> Co-worker  |  |

Other: \_\_\_\_\_

16. What kinds of issues would you like the Supervision Officer Sub-Committee to be working on and why? Check the one or ones that most apply.

- |   |   |
|---|---|
| <input type="checkbox"/> Recognition/Appreciation | <input type="checkbox"/> Interstate Compact |
| <input type="checkbox"/> Better Communication     | <input type="checkbox"/> Turnover Rate      |
| <input type="checkbox"/> Safety                   |   |

Other: \_\_\_\_\_

Please return the survey to: Brandon Sheely, Houston County CSCD, 110 N 2<sup>nd</sup> Street, Crockett, Texas 75835, or email it to: sheeleyb@hotmail.com  
Thank you for your time and input. Keep up the good work.

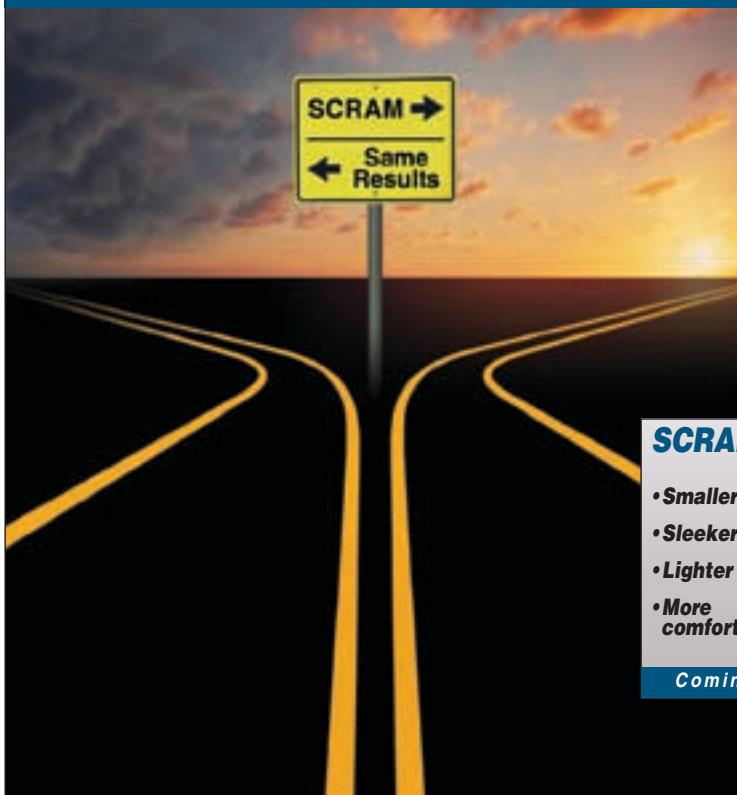


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# 2008 WINTER TRAINING INSTITUTE

Co-sponsored by Arizona Chief Probation Officer's Association, Arizona Probation, Parole and Corrections Association and Western Correctional Association

## ACTIVITIES AT A GLANCE

### Saturday, February 9

12:00 p.m. - 5:00 p.m. Institute Registration

### Sunday, February 10

8:00 a.m. - 8:00 p.m. Institute Registration  
1:00 p.m. - 4:00 p.m. APPA Board of Directors Meeting  
4:00 p.m. - 6:00 p.m. Resource Expo Viewing  
6:00 p.m. - 7:30 p.m. Opening Session  
7:30 p.m. - 9:00 p.m. Opening Reception in the Resource Expo

### Monday, February 11

7:30 a.m. - 5:00 p.m. Institute Registration  
8:30 a.m. - 10:00 a.m. Plenary Session  
10:00 a.m. - 11:00 a.m. Resource Expo Viewing  
11:00 a.m. - 12:30 p.m. Workshops  
12:30 p.m. - 1:45 p.m. Lunch in the Resource Expo  
1:45 p.m. - 3:15 p.m. Workshops  
3:30 p.m. - 5:00 p.m. Workshops  
4:00 p.m. - 6:00 p.m. Resource Expo Viewing  
5:00 p.m. - 6:00 p.m. Reception in Resource Expo

### Tuesday, February 12

8:00 a.m. - 5:00 p.m. Institute Registration  
8:30 a.m. - 10:00 a.m. Workshops  
9:00 a.m. - 11:00 a.m. Resource Expo Viewing  
11:00 a.m. - 12:30 p.m. Workshops  
1:45 p.m. - 3:15 p.m. Workshops  
3:30 p.m. - 5:00 p.m. Workshops

### Wednesday, February 13

8:30 a.m. - 9:30 a.m. APPA Membership Meeting  
9:45 a.m. - 11:15 a.m. Closing Session

Agenda is subject to change.

## Where It All Happens

All APPA workshops, intensive sessions, resource expo and receptions will take place in the Hyatt Regency at Civic Plaza, 122 North Second Street, Phoenix, AZ, 85004. General Sessions will take place at the Phoenix Convention Center at Civic Plaza, located at 111 W. Third Street, across the street from the Hyatt.

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- Network with your peers and learn from their diverse experience.
- View and compare the newest correctional products, technologies and services.
- Increase your current program's effectiveness.
- Take part in exciting and fun social events.

## Who Should Attend?

This Institute is not to be missed if you are a corrections professional involved in:

- probation
- parole
- juvenile justice
- treatment
- social work
- education or training
- victim services
- residential programs
- judicial system
- pre- and post-release centers
- restitution
- law enforcement
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# WORKSHOPS

At A Glance

## Monday, February 12, 2008

### *11:00 a.m. – 12:30 p.m.*

Developing a Risk/Need Assessment Tool for Native American and Hispanic Populations within the Criminal Justice System

Improving the Management of Restitution

A Tale of Two States: An EBP Report Card

A Look at Probation Search & Seizure: How to Stay Safe

Boys to Men?

The Pandora's Box of Evidence-Based Management

Treatment in the Community for Juvenile Mentally Ill Offenders

Technology Transfer in Corrections: The Science Behind Integrated Assessment and Evidence-Based Service Planning

### *1:45 p.m. – 3:15 p.m.*

"If These Halls Could Talk": A Program to Deal With Bullying in Our Schools

Community Corrections Marketing Strategies: Facing the Press, Lawmakers and the Community on Your Grounds

Combating Domestic Violence: The Pinal County Experience

Interactive Firearms Simulation Systems in Officer Safety Training

Offenders as Victims? Sexual Abuse and Community Corrections

The Joint Community Police Partnership

Where's Waldo? What is He Doing There?

Why Should I Care? "Understanding the Need for Female Responsive Values"

### *3:30 p.m. – 5:00 p.m.*

Beyond Employee Satisfaction: Addressing the Workforce During System Reform

Interagency Collaboration Among Agencies Supervising Substance Abusing Tribal Offenders

Effective Interventions for Substance Using Offenders: Coconino County DUI/Drug Court

NLECTC: Technology Resources for Community Corrections

Negotiating the Labyrinth: Successful Supervision in Mental Health Court

Not Just Cowboys and Cactus – Executive Women of Arizona

Pandemic Influenza Is Coming – Are You Ready?

Where is the Voice of Youth in Juvenile Justice Reform?

## Tuesday, February 13, 2008

### *8:30 a.m. – 10:00 a.m.*

Dealing With the Triple Whammy: A Substance Abusing Mentally Ill Offender: What to do?

Bureau of Justice Statistics' Community Corrections Data Collections: Recent Findings and Planned Initiatives

Hometown Security is Homeland Security: Community Corrections' and Prosecutors' Roles in Combating Terrorism

Project Safe Neighborhoods: Probation and Parole's Role in Firearm Interdiction

How Do We Reduce Juvenile Recidivism? A Look Into Research-Based Best Practice

Risk and Domestic Murder

Surviving In the Trenches: The Personal Impact for Probation Officers

The Use of the Polygraph in Supervising Sex Offenders: Maximizing Effectiveness Through Collaboration

### *11:00 a.m. – 12:30 p.m.*

Female DUI Offenders - Tighten the Screw or Sweeten Your Style?

Enhancing the Image of Probation and Parole

Git'er Done: Implementing Evidence Based Practice and the Impact on Organizational Culture

How Implementing A Drug Court Alumni Group Made Us Richer, Smarter and Prettier!

Repaying Debts: Financial Obligations and Prisoner Re-Entry

It's Lonely at the Top! – Executive Coaching for Leaders

Suns Nite Hoops – Basketball is Just the Hook

Transition from Prison and Jail to the Community: NIC's Models, Experience and Assistance.

### *1:45 p.m. – 3:15 p.m.*

Meeting the Needs of the Families of Juvenile Delinquents: The Orange County Wraparound Program

A Victim Perspective on the Prison Crisis in America...Is Parole a Factor?

Accreditation: It's Not Just for Prisons Anymore

Yavapai County Probation: Empowering Offenders in a Rural Setting

Easing into E-Learning

Setting the Stage for Organizational Excellence - Building From Within: "Today's Managers are Tomorrow's Leaders"

Supervision Strategies that Result in Successful Outcomes: New Findings from Three National Institute of Justice Research Projects

Winning the Five-Second Fight: An Evidence-Based Approach to Survival.

### *3:30 p.m. – 5:00 p.m.*

Getting Real About Restorative Justice and Prevention

Engaging Families in Community Supervision through the Family-Support Model for Community Corrections

Applying Analytics to Risk-Needs Screening Data

Interstate Compact for Adult Offender Supervision

Re-entry of Methamphetamine Addicted Offenders

Show Me Yours and I'll Show You Mine

Turn a Child's Life Around: Restorative Justice for First Time Juvenile Offenders

Squeezing Blood Out of a Turnip –The Alameda County Challenge of Supervising 17,000 Probationers with Less than One Hundred Deputies

# REGISTRATION

## Student Registration – only \$49.00!

### Attend Tuesday, February 12

Student registration includes all workshops and exhibit hall entrance for Tuesday, February 12. Student registration is available to full-time students not employed in the corrections field for a special day rate of \$49.00. Copy of student ID required with registration form. **Student registration ends January 18, 2008.**

## Three Ways to Register!



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 **January 18, 2008** will be confirmed by mail.



By Fax – 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 **January 18, 2008** will be confirmed by mail.



Online – Register for the APPA Institute on-line at [www.appa-net.org](http://www.appa-net.org) with your credit card information. All registrations received by **January 18, 2008** will be confirmed by mail.

## Agency Members – How to Register for Your Membership Discount

If your agency is a current APPA agency member, you can attend the Institute at the member rate. Your agency's membership must be valid through January 2008. Registration forms must be completed for each individual, mailed to APPA as a group with your agency's name clearly marked on the registration forms. Agency memberships will be verified. You are required to pay the regular registration fee if your agency is not a current APPA agency member. For additional information, contact Kris Chappell at (859) 244-8204.

## Family Institute Registration

A special low registration fee is available to immediate family members of Institute registrants. Only immediate family members not employed in the corrections field qualify for this special rate. The fee is only \$75 and allows the family member to attend workshops, general sessions and the resource expo.

## 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 payable 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 **January 18, 2008** 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 **January 18, 2008**. No refunds are available after **January 18, 2008**. In order to receive a refund, written requests must be sent 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 January 18, 2008.** Registrations are not transferable.

## Institute Dress

All activities of the Institute are casual dress. A sweater or light jacket is recommended since meeting room temperatures tend to vary.

## Important Dates To Remember

January 7	Deadline to make lodging reservations at special Institute rates.
January 18	Last day to take advantage of early bird registration rates.
January 18	Deadline for registration fee refund.
February 10	Institute activities begin.

## Directory

Institute Registration.....	(859) 244-8204 <a href="http://www.appa-net.org">www.appa-net.org</a>
Resource Expo.....	(859) 244-8205 <a href="http://www.appa-net.org">www.appa-net.org</a>
Hyatt Regency at Civic Plaza.....	(602) 252-1234 <a href="http://www.appa-net.org">www.appa-net.org</a>
National Car Rental .....	(877) 275-4771 <a href="http://www.nationalcar.com">www.nationalcar.com</a>
Sightseeing .....	<a href="http://www.visitphoenix.com">www.visitphoenix.com</a>
SuperShuttle.....	(602) 244-9000 <a href="http://www.supershuttle.com">www.supershuttle.com</a>
APPA Website .....	<a href="http://www.appa-net.org">www.appa-net.org</a>



# Registration Form

APPA Winter Training Institute - February 10-13, 2008

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

Includes general sessions, exhibit receptions and workshops. (All fees are per person.)	Early Rate Before Jan. 18	On or After Jan. 18	Amount
<b>Member of APPA</b> To qualify for this rate you must be a member of APPA or co-sponsoring Association. Please indicate your membership category and your membership number. <input type="checkbox"/> APPA Individual member <input type="checkbox"/> APPA Agency member <input type="checkbox"/> AZ Chief Probation Officer's Assn. <input type="checkbox"/> AZ Probation, Parole and Corrections Assn. <input type="checkbox"/> Western Correctional Assn 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"/>	\$315	\$365	\$ _____
<b>Non-member</b> If you are not a member of APPA or co-sponsoring Association, you are required to pay the regular registration fee. Memberships will be verified.	\$375	\$425	\$ _____
<b>Student Registration – Attend 2/12</b> Student registration includes all workshops and exhibit hall entrance for Tuesday, February 12. Student registration is available to full-time students not employed in the corrections field. Copy of student ID required with registration form. Student registration ends January 18.	\$49	N/A	\$ _____
<b>APPA Accredited Contact Hours</b>	\$10	\$10	\$ _____
<b>Special Training* - Stalking Focus Group</b> <i>*Must be a paid registrant to attend.</i> <input type="checkbox"/> I will be attending the Stalking Focus Group for <b>Administrators</b> Sunday, February 10, 2008; 8:30 a.m. – 10:00 a.m. <input type="checkbox"/> I will be attending the Stalking Focus Group for <b>Line Officers</b> Sunday, February 10, 2008; 11:00 a.m. – 1:00 p.m.			
<b>Family Registration</b> This rate is available to immediate family members not employed in the corrections field. Allows entry into general sessions, exhibit receptions and workshops. Specify Family member's name _____	\$75	\$75	\$ _____
<b>APPA Membership</b> One year of individual membership. <input type="checkbox"/> New Member <input type="checkbox"/> Renewal	\$50	\$50	\$ _____ 61-16-00-1000-40200
<b>Grand Total Enclosed</b> \$ _____ 61-16-00-2073-44010			
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: \_\_\_\_\_ Vcode: \_\_\_\_\_ Exp. Date: \_\_\_\_\_

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 January 18, 2008. No refunds are available after January 18, 2008. 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 January 18, 2008.

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](http://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   ☐ 16-20 years  
☐ 2-5 years   ☐ 21-25 years  
☐ 6-10 years   ☐ More than 26 years  
☐ 11-15 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   ☐ Attorney  
☐ Commissioner/   ☐ Educator/  
    Director/Chief   Researcher  
☐ Administrator   ☐ Private Sector/  
☐ Consultant   Corporate  
☐ Trainer   ☐ Retired  
☐ Parole Board   ☐ Student  
                          Member   ☐ Other  
☐ Judge

### Race/Ethnicity

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

### Mark all Expenses that are Reimbursed

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

### Mark Past Attendance at APPA Annual Institute

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

APPA Federal ID # 56-1150454



# Calendar of Events

## 2007 - 2008

January 11-16, 2008 American Correctional Association Congress of Correction. , New Orleans, LA. For more information visit [www.aca.org/Conferences/Winter08/home.asp](http://www.aca.org/Conferences/Winter08/home.asp).

January 25-27, 2008 National Association of State Personnel Executives, Mid-Year Meeting. Washington, D.C. Contact Lisa Collins at (859) 244-8179 or [lcollins@csg.org](mailto:lcollins@csg.org) for more information.

**February 10-13, 2008** **APPA 2008 Winter Training Institute. Hyatt Regency Phoenix, AZ. Visit [www.appa-net.org/institutes/2008\\_phoenix/attendee/](http://www.appa-net.org/institutes/2008_phoenix/attendee/) or call Kris Chappell at 859-244-8204 for more information.**

February 11-14, 2008 National Cybercrime Symposium and Exposition, Long Beach, CA. Visit [www.fppoa.org/documents/FPPOACyber\\_000.pdf](http://www.fppoa.org/documents/FPPOACyber_000.pdf) for more information.

March 2-5, 2008 19th Annual National Youth-at-Risk Conference, Georgia Southern University's College of Education and Continuing Education Center, Savannah, GA. Visit <http://ceps.georgiasouthern.edu/conted/nationalyouthatrisk.html> for more information.

March 10-14, 2008 National Emergency Management Association-NEMA Mid-Year Conference-Washington, DC.-JW Marriott. . Contact Karen Cobuluis at (859) 244-8143 or [kcobuluis@csg.org](mailto:kcobuluis@csg.org) for more information.

March 12, 2008 Indepth Gang Awareness & Investigations, , Craven Community College, New Bern, NC. See [www.blackducktraining.com/gangawarness.html](http://www.blackducktraining.com/gangawarness.html) for more information.

April 27-30, 2008 Association of Paroling Authorities International 2008 Training Conference Louisville, KY. Visit [http://apaintl.org/en/tr\\_atc.html](http://apaintl.org/en/tr_atc.html) for more information.

May 4-8, 2008 American Jail Association 27th Annual Training Conference and Jail Expo. Sacramento, CA. For more information call 301-790-3930.

May 4-7, 2007 Corrections Technology Association 2008 Conference. Colorado Springs, CO. Visit [www.correctionstech.org/2008Conference/index.php](http://www.correctionstech.org/2008Conference/index.php) for more information.

May 29 - June 1, 2008 Council of State Governments 2008 Spring Committee and Task Force Meeting, Lexington, KY. For more information visit [www.csg.org/meetings/spring.aspx](http://www.csg.org/meetings/spring.aspx).

July 14-16, 2008 8th Annual IAFMHS Conference The Interface Between Forensic and General Mental Health Services. For more information, contact Tracey Moropito at (604) 924-5026 or visit [www.iafmhs.org](http://www.iafmhs.org).

**August 3-6, 2008** **APPA 33rd Annual Training Institute, Rio Hotel and Casino, Las Vegas, NV. For more information, contact Kris Chappell at 859-244-8204 or visit [www.appa-net.org](http://www.appa-net.org) for more information.**

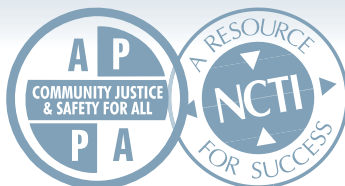
To place your activities in Calendar of Events, please submit information to:

Darlene Webb, American Probation and Parole Association, P.O. Box 11910, Lexington, KY 40578  
fax (859) 244-8001, email [dwebb@csg.org](mailto:dwebb@csg.org)

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