

# PERSPECTIVES

the journal of the American Probation and Parole Association

w w w . a p p a - n e t . o r g  
Volume 32 Number 3 Summer 2008

An abstract graphic consisting of several overlapping spheres of different sizes and colors. There are two large red spheres, one large teal sphere, and several smaller yellow spheres. The spheres are arranged in a way that they appear to be floating or overlapping each other.

# ALCOHOL

...and the offender

# President's Message

Gary Hinzman

I would like to begin by recognizing and thanking Denny McFarland as Program Chair, the entire program committee and APPA staff for the superior effort they are putting toward the 33<sup>rd</sup> Annual Training Institute to be held in Las Vegas, Nevada. The quality of the workshop and speakers at our Institutes continues to identify APPA as a one of the nation's premier professional organizations. Additionally, the APPA Executive Committee appreciates the local host committee and their vital support that helps attendees feel welcome in Las Vegas. I look forward to another successful Institute.

Our committee structure at APPA is evolving to allow for greater member participation and to be more action-oriented. I want to encourage members who have not been involved in a committee to ask for inclusion. Most committees now have four teleconferences annually. This should be a real benefit to committee members who want to actively participate but cannot always get to the Institutes for face-to-face meetings.

I want to bring to light a meeting hosted by the Council of State Governments Justice Center. They convened a meeting of a Community Corrections Research Advisory Group in New York City. The group reviewed a document which summarizes research on strategies to improve outcomes for people with mental illness under community corrections supervision. Corrections mental health is one of my presidential priorities. Therefore, I found this insightful and meaningful meeting to be particularly timely for our field. Quoting from the working document about the "Extent and Nature of the Problems":

*People with mental illnesses (most of whom have co-occurring substance use disorders) are overrepresented on community corrections caseloads. They are even more susceptible to common risk factors for reincarceration, like substance abuse, than individuals without mental illnesses. They also face unique clinical risk factors and significant socioeconomic challenges to successful community reintegration. Traditional community corrections agencies do not have the staff, training, time, or resources to effectively respond to people with mental illnesses, creating a difficult situation for this population and the officers charged with their supervision.*



During the next year, I am encouraging APPA to place a greater focus on this issue of enormous national magnitude, to join hands with our social and justice partners and do all we are able to do by providing treatment and reasonable alternatives to this troubled population. Thanks to all the enlightened APPA members who were invited and attended the New York City meeting.

The APPA international outreach and collaboration initiative has been moving forward with great enthusiasm and synergy. There continues to be significant interest in an exchange of ideas with APPA from the New South Wales Probation and Parole Association in Australia. At their invitation, I did attend their conference in Sydney. I found them to be a good example of professional and competent probation services with great influence in the Pacific Rim area. We also met Graeme Pearce, the President of the Australian Probations and Parole Officers Association. With these contacts, I am hopeful that our relationship continues to grow.

In May, I was able to return to an International Conference in Poland along with a dozen other APPA members. Our group met professionals from other European countries as well as made presentations at the Pila Conference. Finally, our group made presentations to groups of judges, probation officials, court officers and academic staff in the cities of Poznan and Krakow.

In route to Poland, former APPA President Mario Paparozzi and I stopped in Berlin to have talks with probation officials at the Justice Ministry at the request of the Probation Association for Germany. My thanks to probation officer Linda Jones of Jackson, Tennessee for facilitating this meeting and serving as our interpreter. Linda is from Germany and a current member of APPA's International Committee. Good work Linda!

The International Committee has invited probation officials from the West Indies Island Nation of Anguilla to be our guests in Las Vegas. Mrs. Jocelyn Johnson-Carty will lead this delegation. It is a goal of the International Committee to establish greater contacts with our Caribbean neighbors. My thanks go to Sherla Hendricks of Jackson, Tennessee for her tireless efforts to make this possible. Sherla is from the Caribbean and a member of the International Committee.

A delegation from APPA met with the **United States Department of State** to further our international outreach. I am very pleased with the outcome of our discussions on international outreach. I continue to believe there are exciting opportunities for APPA and member agencies to benefit from the exchange of knowledge and potential exchange programs. I have asked the APPA Executive to consider a joint proposal to develop a **"Corrections International Leadership Institute" for APPA members.**

While in Phoenix, we continued the inaugural class of the **Synergistic Leadership Institute.** These future community corrections leaders enthusiastically participated in the continued class offerings. They will complete their 12 months of ongoing training and tutelage in Las Vegas with a graduation ceremony.

This concentrated effort to develop future leaders for the field was initiated by American Probation and Parole Association, Na-

tional Association of Probation Executives and the Correctional Management Institute of Texas with funding support from the National Institute of Corrections. I want to especially recognize Dee Bell and all the APPA members who provided their devoted energy to this exciting and vitally important leadership training effort. I am also appreciative of those of you mentoring and coaching the class participants and your ongoing regular efforts to support and advise them.

I am grateful to Susan Clayton, Lisa Leone and other staff of *Corrections Today*, the official publication of the American Corrections Association, for inviting me to write an article on community partnerships. The article entitled **"Reciprocal Forbearance: Creating Partnerships through Community Advisory Boards"** appears in the spring edition. I hope you will take the opportunity to read the article. I believe it provides many good examples and some insights about developing strong community partnerships and the organizational change needed to be successful.

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,

*Hay Hinerman*

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*Edward Rhine, Ph.D. and Donald G. Evans, Editors*

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Welcome to the Summer issue of *Perspectives*. We are pleased to be able to present another issue packed with interesting, helpful and challenging articles for you and your colleagues. Our lead article deals with the challenge of supervising the DUI offender. Despite the advances in research, increased public awareness and changes in laws, drinking drivers remain a critical problem in this country. Over a half million adults are on formal probation for DUI and many more are under supervision through a wide variety of diversionary programs. Many of the DUI offenders who end up on probation are the chronic, high BAC offenders who pose a major risk of reoffending. While not classified as violent offenders and often classified, inappropriately as low risk, these offenders pose as much, if not a greater risk of causing serious injury or death as the typical violent offender. APPA staff Karen Dunlap and Tracy Mullins present a comprehensive, well-researched and practical model for supervising the DUI offender. This article is an excellent example of the excellent work being done by APPA on issues of concern to the field.

Monitoring the alcohol use of DUI offenders and with alcohol abuse problems is a challenge. The constraints of traditional technology, primarily breathalyzers limit the probation/parole officer's ability to detect alcohol use to a narrow window of time. Gregory Skipper, Robert DuPont and William White provide a useful overview of the current alcohol monitoring technology and introduce a new technique. Similar to tests that measure the byproducts of the body's processing of drugs in the urine, tests are now available to monitor alcohol use. This technology significantly extends the window for detecting alcohol use – by a factor of nine!

Inmates being released from incarceration have a number of immediate concerns. High on the list is a place to live. Kira Dunn and Stephanie Coughlin describe a program in Massachusetts that provides housing to newly released inmates who would otherwise be homeless. They describe the risks of not having an appropriate place to live and present the results of a program designed to address this problem. The authors and the Massachusetts Parole Board are to be commended for undertaking this research. We need much more practitioner generated research that explores the effectiveness of programs and services such as this.

In the Research Update, David Karp and Kristen Harkness describe the impact of living in disadvantaged neighborhoods. Not surprisingly, such neighborhoods can be considered criminogenic, as they can increase the risk of recidivism for offenders. This finding reinforces the importance of where offenders live. If we want to reduce recidivism, we have to pay attention to where offender lives as well what they are doing.

Another excellent example of practitioner-driven research is presented in the article "Do We Care What Offenders Think?" by Robert Cherkos, Jennifer Ferguson and Alison Cook. Businesses regularly survey their customers to determine what they think of the firm's products or services. Sadly, that is rarely done in community corrections. This represents a lost opportunity for us to learn about the effectiveness of our services. Offenders are not merely passive recipients of supervision. Their



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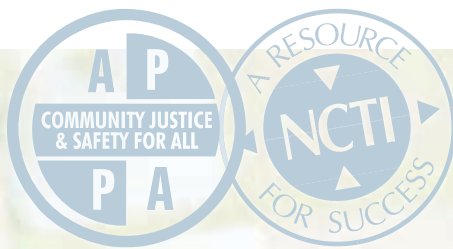
perceptions of, reactions to and attitudes about their officer and the supervision provided will directly affect their degree of cooperation and motivation to change. The results of the research conducted in Maricopa County adult probation links to evidence-based practices and procedural justice, providing a valuable framework to think about and use the information that a client survey can provide.

It seems to me that few discussions of probation and parole take place these days without some reference to the fiscal stress that jurisdictions are facing. The effectiveness of officers and programs is often limited by lack of money. In the Technology Update, Joe Russo describes Field Search, a versatile software tool for monitoring offender computer use that is available free from the National Law Enforcement and Corrections Technology Center. The importance of this monitoring function is summed up in a subtle but succinct way in the first sentence -- unsupervised computer is a concern, not only for sex offenders but also those involved with other computer related crime, such as fraud.

Once again, the diversity and difficulty of the challenges facing probation and parole come through in the content of this issue. In recognition of that and the incredible accomplishments of you and your colleagues, we encourage you to recognize and celebrate your contributions during Probation, Parole and Community Supervision week, which is July 13-19, 2008. We hope you enjoy this issue, and encourage you to let us know what you think of *Perspectives*, your professional journal. >>>▲

Bill Durrell

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*Ethyl alcohol molecule. Model by John R. Higgins. Special thanks to Dr. Gregory Graf, University of Kentucky College of Pharmacological Sciences.*

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### Instructions to Authors

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

Articles should be submitted in MS Word 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.

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



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*where community partnerships are*

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**A full range of sanctions and services** provides public safety by insuring humane, effective and individualized sentences for offenders and support and protection for victims;

**Primary prevention initiatives** are cultivated through our leadership and guidance;

**Our communities are empowered** to own and participate in solutions;

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**Dignity and respect** describe how each person is treated;

**Staff are empowered** and supported in an environment of honesty, inclusion and respect for differences; and

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



The American Probation and Parole Association is an affiliate of and receives its secretariat services from the Council of State Governments (CSG). CSG, the multibranch association of the states and U.S. territories, works with state leaders across the nation and through its regions to put the best ideas and solutions into practice.

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## Are You Training For Your Greatest Risk?

You've learned to clear your desk of items that could be used as weapons against you. You always escort offenders to and from your office. You stand to the side before you knock on the offender's door and never enter if they just say "come in." Even before you get to the door you do a drive-by and assess the neighborhood and plan your approach with safety in mind. But, have you trained on the single most likely way you will be killed in the line of duty?

Forty-one percent of parole and probation officers killed in the line of duty have died as a result of traffic accidents, which is the single most common cause of death of parole and probation officers. Yet, driver training skills are one of the least addressed on-the-job training issues.

While some accidents are unavoidable, we can increase our safety by paying atten-

tion to some basic rules. As we all know, all occupants should wear seat belts. Not only is it a good practice—it's the law!

While multi-tasking is a common activity for many officers, the car is not the place for it. Even a simple activity such as smoking is a distraction and should be banned in agency vehicles. Talking on a cell phone without a hands-free device is also banned in many states and even if not banned is a hazardous practice. If you need to talk on the phone pull off the road and park, especially if you need to write down information.

Trying to drive and locate a new offender's residence with the aid of a map can be replaced by the use of a GPS device. Such devices have been issued to Federal Probation Officers in the Eastern District of Missouri and in other state and local jurisdictions. Even if the agency doesn't pro-

vide the device, isn't your safety worth your personal investment?

Vehicles should be free from debris and refuse and physical sweeps and disposal of debris and refuse should be performed by drivers at the beginning and end of usage, especially if you are using an agency vehicle that is shared. Also, the driver should ensure that the vehicle contains at least a half tank of gas at the end of use.

So how do we address this safety training issue? Some agencies have partnered with local law enforcement and participated in driver training offered to their police officers. The National Safety Council (NSC) has more than 2,000 Defensive Driving Centers and more than 7,500 instructors worldwide. In 1964, NSC developed the first defensive driving skills curriculum in the country and since then more than 60 million drivers have completed NSC courses.

Driving can be an area of complacency. Many officers spend long hours in their cars and travel hundreds of miles each month. But just as the Color Code of Awareness applies to our daily tasks of supervision and investigation, it also applies to the act of driving. We should never be totally relaxed, but rather, in a constant state of awareness.

Since historically driving accidents are our single greatest cause of death, doesn't it follow that we should address this issue as part of our safety training? Consider it. ►►▲

### References

- Schweer, Ronald G. and Thornton, Robert L., *Strategies for Officer Safety Program*, 2007  
National Safety Council, *They're Headed for the Most Dangerous Part of Their Job*. 2008

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

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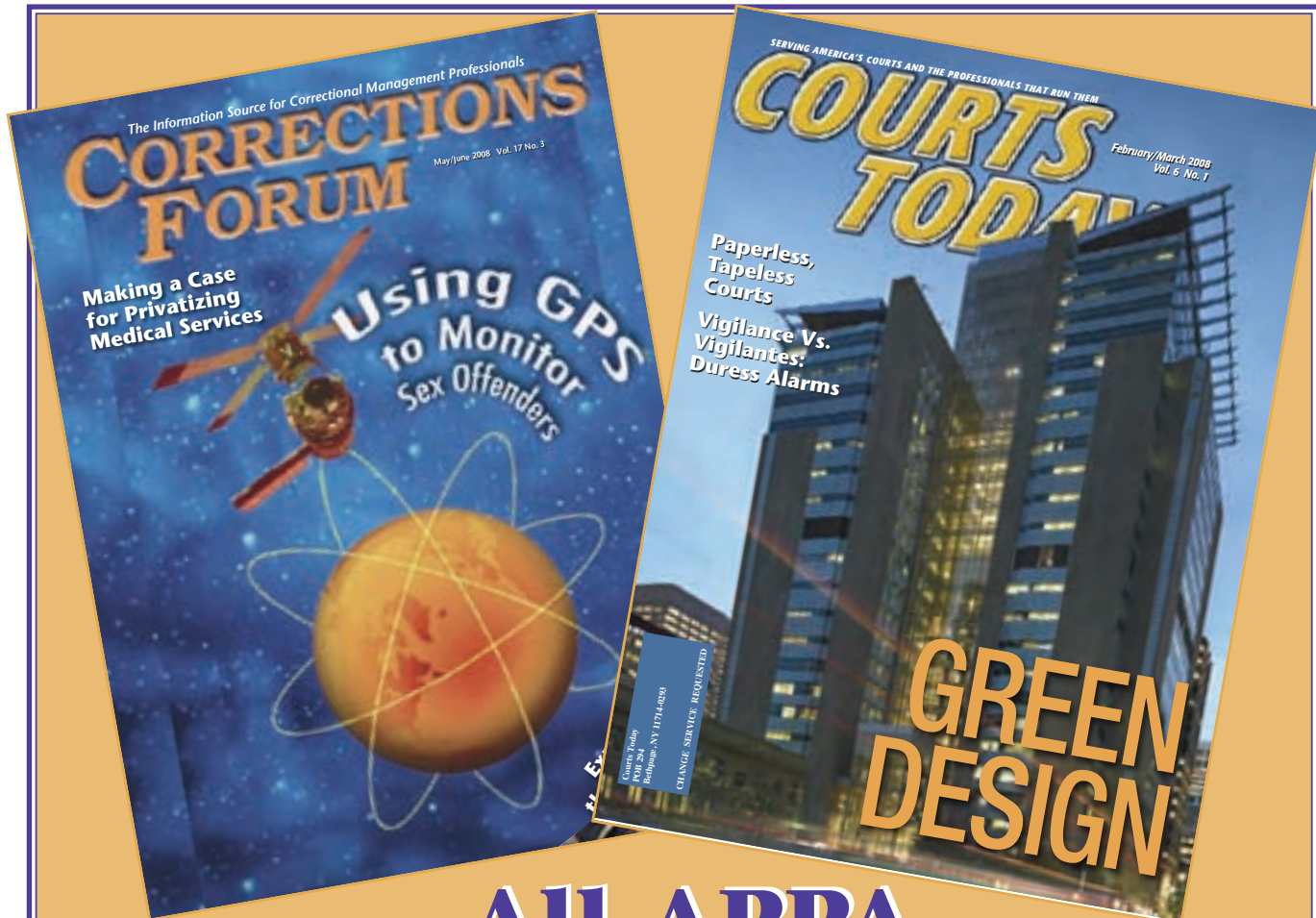
**"A PASSION FOR CRIME: The Life of a Career Criminal"**  
By Stephen M. Kahn, Ph.D.

**The author** is a psychologist who has studied, researched and taught college courses on sociopaths and sex offenders to law enforcement personnel for over thirty years.

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## Field Tools for Managing Sex Offender Computer Use

Unsupervised computer use is clearly a concern in the context of sex offender management. This is true for many reasons. First, the Internet provides a cloak of anonymity and secrecy which is exactly the type of environment that these offenders desire and thrive in. Second, because forums and chat rooms exist on virtually any topic conceivable it does not take long for a sex offender to find a place on the web where his feelings about sex and his sexual preferences are accepted and understood. This is dangerous be-

cause it can reinforce and normalize the thinking errors that lead to further offenses. Third, the Internet provides access to victims both directly through online contact with children but also indirectly through dating services that offenders use to find potential victims by targeting single mothers with children of the desired age and sex. Lastly, and this should come as no surprise, the Internet is an incredible repository of pornography both legal and illegal. Pornography is obviously intended to create a sexual stimulus, but it generally serves to reinforce negative and abusive views of sex. For sex offenders, viewing pornography is a risk factor that runs counter to the goals of treatment and continued use may be a contributing factor leading to new offenses.

To help address this issue, the National Law Enforcement and Corrections Technology Center's Rocky Mountain Office (NLECTC-RM) funded the development of a free software tool called Field Search. Field Search is a computer preview tool designed to allow a non-technical probation/parole officer to go into the field and quickly conduct a scan of an offender's computer and document their findings. The use of Field Search was intended to support the supervision process in two main ways. First, by conducting an initial intake of an offender's computer the officer can begin obtaining information about the offender's true sexual interests as evidenced by the material he/she has viewed. This information proves to be invaluable to treatment providers as most offenders are hesitant to disclose this in individual or group therapy. Second, the stage can be set for the establishment of specific conditions of supervision relative to computer use and Field Search can be used to monitor compliance of these conditions from that point forward.



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Field Search can be downloaded onto a CD or a thumb drive which the officer can bring into the field with him/her. At the offender's home the software is run on the target computer. In about 30 minutes, Field Search performs four major functions: an Internet history search, an image search, a media search and a keyword search. Field Search quickly and automatically retrieves Internet histories from several popular browsers including Internet Explorer, Netscape, Firefox and Opera. Results are displayed in an easy to read format that include the date and time each website was visited and can be sorted in a number of ways to help the officer understand an offender's surfing patterns. Field Search quickly finds all logical images in JPG, BMP, PNG or GIF formats. Images are automatically displayed in a gallery view. Field Search also allows officers to search for text in any logical file. Field Search can detect many of today's standard audio/video files types and can quickly lo-

cate, play and capture screens from video files. Keywords are used to search for such things as pornographic materials, erotic stories or the victim's name. The search field is free form so the officer can simply type the keywords of interest. So, for example, if the offender is involved in fraud, the officer might enter "bank account" or "credit card" as keywords.

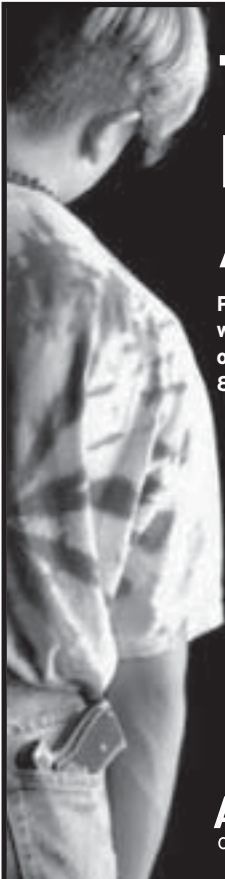
Officers can create reports by selecting any of these items for inclusion. A built in report function automatically creates a document which includes each item's associated path and date/time stamp. In the case of images, a thumbnail is included in the report. An export data function was provided which allows the officer to quickly transfer all of the raw data (internet history, images, keyword text hits) into an Excel \*spreadsheet for analysis at a later time. This was built into the software in cases where the situation in the offender's home does not allow for a complete review on-site. If the offender becomes belligerent, for example, the export data

function can be completed within a minute or two and the officer can leave with the data to be reviewed elsewhere. Reports can then be used to brief the treatment team about what was found on the offender's computer or, if necessary, to include in a revocation process.

Since Field Search was introduced in 2005 over 2,000 criminal justice personnel have downloaded the software. NLECTC-RM recently contacted current users of Field Search to gather their feedback on their experiences with the tool. In general, the results indicate that Field Search has become a valuable tool for community corrections. Some key findings are listed here:

- Seventy- three percent of respondents rated Field Search as Extremely Valuable or Very Valuable as a computer screening tool.
- Respondents report that Field Search is superior to other field-based preview

*Continued, next page*




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tools due to its cost effectiveness, functionality and ease of use.

- Respondents generally report that Field Search works as designed. The few problems cited are mainly attributed to the condition (insufficient memory capacity) of the target computer. (*Note: this occurs because Field Search runs live on the offender's computer.*)
- Seventy-eight percent of respondents report that their agency/judiciary has supported their use of Field Search.
- Nineteen percent of respondents report that their agency developed policies and procedures specific to the use of Field Search. The majority of respondents reported that existing policy and/or search guidelines negated the need for specific policy regarding Field Search.
- Forty-one percent of respondents report that they find contraband or other

useful information using Field Search at least 25 percent of the time.

- Fifty-five percent of respondents reported that evidence captured by Field Search has assisted them in support of violations of probation or parole or the enhancement of supervision conditions. seventeen percent reported that evidence was used to further new criminal charges. (*Note: Field Search was developed for probation/parole operations where standards of proof are lower than those in criminal prosecutions. Field Search should not be used to gather evidence to prosecute new crimes. That said, respondents have indicated that Field Search helped them discover child pornography and at that point the computer was turned over to certified forensic examiners for a full search.*)

Seventy-one percent of respondents report that evidence captured by Field Search

has been used in a court proceeding.

Eighty-one percent of respondents reported that a version of Field Search designed to scan computers using Mac operating systems would be helpful. (*Note: Currently Field Search can only scan computers with Windows-based operating systems.*)


In response to the final key finding, NLECTC-RM, with funding from the National Institute of Justice, is developing a field tool that officers could use to scan a MAC computer. This software will be known as FS-Mac. The new tool is being designed in the model of the original Field Search (now known as FS-Win) with the same basic functionality and ease of use important to non-technical users. FS-Mac will be available for download in the summer of 2008. In addition, version 3.0 of FS-Win will also be available at the same time. Both tools can be downloaded by request by visiting <https://www.justnet.org/field-search/>. Please note that these tools are available to active, public sector criminal justice personnel only.

I should point out that while NLECTC-RM has developed Field Search as a free, point in time screening tool, we do recommend that agencies use continuous monitoring software particularly for higher-risk offenders. These systems are very robust, affordable and provide a greater level of supervision than can be achieved through Field Search alone. Many agencies that have moved to continuous monitoring software are still using Field Search to perform an initial intake of the offender's computer so they may capture historical usage data for diagnostic/treatment purposes.

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

*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.*


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## Recent Research on the Impact of Neighborhoods on Offender Recidivism

### **"Predicting Who Reoffends: The Neglected Role of Neighborhood Context in Recidivism Studies."**

Charis E. Kubrin and Eric A. Stewart  
*Criminology* 2006. 44: 165-197.

The sociologist Rodney Stark once observed that some urban neighborhoods are not only dangerous, but have been dangerous for a long, long time.<sup>1</sup> Even though offenders grow up and move away, even though the racial and ethnic profiles of the neighborhoods change, still they remain dangerous. This shift in perspective—from individuals to the places where they live—is the focus of this Research Update.

When we think of what causes offender recidivism, especially those released from prison, we generally think about the qualities of the particular person. Research has demonstrated that males, minorities, younger people, drug abusers, people with little education and those who have committed several offenses and more serious offenses are more likely to reoffend than those with different personal characteristics. But researchers have failed to consider the diverse neighborhoods that these former offenders live in after being released. Neighborhoods vary drastically in levels of crime, unemployment levels and poverty levels. Recently released offenders face unique challenges and are often dependent on resources within their neighborhood in order to keep from getting into trouble again. The essential questions taken up by Kubrin and Stewart are, which individual-level factors influence rates of recidivism and also, how does a

certain community characteristic account for recidivism that could not be explained by individual-level characteristics.

There are many barriers that hinder successful reintegration into society for ex-offenders. Above all, they face a social stigma that puts them at a disadvantage. Securing a job proves to be extremely difficult, as is finding housing. Many ex-offenders also experience substance abuse problems and have not participated in educational activities in prison. In 1997, only 27 percent of inmates who were being released soon reported participation in vocational programs and 35 percent reported participating in educational programs. Because the ex-offenders have so many needs after being released from prison, they must rely on their community for support and services. When a community cannot provide adequate support, then it is more likely that prisoners will reoffend or violate their probation or parole. Ex-offenders often are required to have a job, have housing and pay restitution as part of their probation or parole.

Neighborhood characteristics are considered to be important in determining who reoffends because not every community has the social services many offenders need after being released back into society. Communities have differing relationships with their local governments and may not be able to communicate their needs as well as others. Neighborhoods that have established social networks have higher levels of social capital, meaning that people within the community can more easily access resources through their social network. A neighborhood with high social

capital would undoubtedly prove invaluable to an ex-offender. Finding resources is proving to be increasingly difficult for recently released offenders over the past few decades, as concentration of poverty grows and the gap between the rich and the poor widens.

The sample used in this study was taken from both the 2000 census data and from individuals on community supervision in Multnomah County, Oregon, which includes the Portland area. Data on former prisoners was obtained from the Oregon Department of Corrections, and includes prisoners who were admitted to community supervision between a six month period of January 1 to June 30, 2000. The total sample size included 4,630 individuals located in 156 different neighborhoods. In this study, recidivism was measured as a new arrest within a twelve month period. The characteristics chosen to represent neighborhood disadvantage included proportion of people on public assistance, proportion of people below the poverty level, proportion of people unemployed and median family income.

In addition to the well-known individual characteristics such as prior offending, race, age and gender, recidivism rates were clearly affected by where offenders lived upon release. Perhaps the most significant finding was that living in a disadvantaged neighborhood increased the chances that an ex-offender would recidivate over and above any characteristics of the offender. The chance that an ex-offender would recidivate in a less disadvantaged area was 42 percent, compared to a 60 percent chance of recidivism in a more

*Continued, next page*



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disadvantaged area. From these results, it can be inferred that that neighborhoods rich in resources serve as a guard against recidivism.

While this study is especially crucial at a time when we are releasing more and more former offenders back into society, there are questions about the generalizability of the study. While Kubrin and Stewart found that Portland does not differ from U.S. national demographics and recidivism rates are similar to those found in other studies, Portland may differ from other U.S. cities in terms of geographic area and layout. For example, Portland is a relatively small city, meaning people may have more access to resources across neighborhoods than in a very large city, such as New York. On the other hand, a larger city could have more resources on the whole than a smaller city. Thus, this study needs to be replicated in other cities.

Kubrin and Stewart estimate that roughly 600,000 prisoners return to society each year. Former offenders who have been recently released back into society are a group of people who have enormous disadvantages. Consequently, the disadvantages are only growing as our society becomes more technologically advanced and the disparity between the rich and the poor grows. By understanding and working to reduce recidivism rates, we can make communities safer, as well as improve the lives of former offenders, effectively keeping them out of prison. This understanding must now include more than individual differences and examine the features of the city and how best to navigate an offenders return to a community where he or she has the best chance of succeeding. This leaves us with two obvious policy alternatives: return offenders to better neighborhoods or improve those neighborhoods where they are typically sent. >>▲

*David R. Karp is Associate Professor of Sociology and Interim Associate Dean of Student Affairs at Skidmore College in Saratoga Springs, New York. Kristin Harkness graduated from Skidmore College in 2008 with a degree in sociology.*

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## Probation, Parole and Community Supervision Week

Dear Friends,

Please join the American Probation and Parole Association (APPA) in celebrating Probation, Parole and Community Supervision Week 2008. The dates for this special week are July 13-19, 2008 and our theme this year is "Making Your Mark on the Community". The online resource kit is now available on the APPA website at [www.appa-net.org/resource\\_kit/2008/](http://www.appa-net.org/resource_kit/2008/).

We hope you can find wonderful ways to make this year's Week truly memorable!

### Making Your MARK on the Community

### July 13-19, 2008



## What is New at the Interstate Compact for Adult Offender Supervision (ICAOS)

### ICAOS Mentoring Program

The Interstate Compact for Adult Offender Supervision has a new mentoring program for the Interstate Commission is now launched. This program is designed to coach, train and counsel new Commissioners and encourage active participation in Commission activities and the promotion of successful strategies and best practices as a Commissioner. In most cases the “participant” or person being mentored is a newly appointed Commissioner and the “mentor” is the Regional Chair.

New Commissioners are given an assessment that will assist their Mentor in designing a program tailored to their needs. Furthermore, new Commissioners are able to determine what areas they would like to focus on or might need initial assistance in based on their prior role in the Commission. Mentors are approved to meet face to face with a new Commissioner and/or via telephone depending on the level of guidance needed.

### Self Assessment Program

Self Assessment Programs are a proven modern management model. Once implemented, it can be a blueprint to promote the efficient use of resources and improve service delivery regardless of the size, geographic location, or functional responsibilities of the agency. The ICAOS Self Assessment Program is a voluntary, internal process by which an agency seeks to achieve, objectively verify, and maintain high quality in their operations through a periodic process of self-evaluations. Once fully developed, members of the Interstate Commission for Adult Offender Supervi-

sion will be encouraged to participate.

The ICAOS Self Assessment is written to help organize, develop and manage the self assessment process. It includes a complete set of standards, references, forms and information specific to Interstate Compact for Adult Offender Supervision. The standards upon which the ICAOS Self Assessment Program is based reflect the current thinking and experience of corrections practitioners and researchers. Major organizations, associations, leading educational and training institutions, as well as public safety executives nationally, acknowledge the value of establishing standards and establishing assessment programs.

The ICAOS Self Assessment is currently under review by the Education and Training Committee for the Commission. The standards for the assessment are being refined for optimal use by a Compact Office.

### A Guide for Establishing State Councils

The Commission regulates interstate operations and affairs for the ICAOS. Each state is required by statute to establish a State Council for overseeing its intrastate affairs dealing with the Compact. An active State Council can have a positive influence on each state’s Compact operation. Specifically, the Council can serve as an advocate when seeking resources, improving operations, resolving disputes and conducting training.

To assist states, the National Office developed a State Council Guide that leads Commissioners through the appointment

process, organization and leadership, meeting procedures as well as on-going maintenance for an active State Council.

### Best Practices

While each state is unique in structure, the mission and responsibilities with regard to Interstate Compact operations are similar. For example, all states are involved in training field personnel, sustaining a state council, resolving disputes, etc. In an effort to provide additional technical assistance to the states, the Commission is assembling a publication of best practices for national distribution. An Interstate Compact Best Practice is a successful goal-oriented Compact initiative that has documented its efficiency, effectiveness and impact in everyday practice. Upon a peer review and determination of its versatility, each article is posted on the Commission’s website as a technical assistance resource to other states. Current submissions include mandating on-demand training and utilizing a “tip of the month” as an email signature for training. To find out how you can submit an Interstate Compact best practice for your state or to read current best practice articles, go to the Commission’s website.

### Continuing Legal Education

The National Office is in the process of receiving continuing legal education accreditation for its On-Demand modules available on the Commission’s website. As of May 9, 2008, accreditation is approved from the Wyoming State Bar Association, the Colorado Supreme Court Board of Continuing Legal and Judicial Education

*Continued, next page*

and the Vermont Mandatory Continuing Legal Education Board for the ICAOS Training Modules for general credits of continuing legal education. As more approvals are anticipated, the Commission's website will soon feature a webpage noting each accreditation for those seeking CLE's in their state for participation in the Commission's training modules.

#### Preparing for the Interstate Compact Offender Tracking System (ICOTS): Training

Adequate user training is critical to the success of the ICOTS project. To prepare, states will want to select a trainer responsible for training on ICOTS and develop a plan for training users. When preparing their training plan, states will want to answer the following questions:

- Who will use the ICOTS system?
- What business processes are changing? Remaining the same?
- How will cases be assigned to the field?
- How will changes impact workflow? For example: Who in the Compact Office will review the Transfer Request or who will respond to Requests for Reporting Instructions? Etc.
- How will information and training be disseminated to users?
- What is needed to support training? For example: Identifying users. Setting up classroom style training. Reproducing training manuals for users. Utilizing the proper equipment for web-based training. Etc.
- What timeframes need to be established to ensure all users are trained by implementation?

#### Who will conduct the training?

The National Office will train two master trainers for each of the pilot states. In addition to National Office staff, many of these trainers will be the National Train-

ers for ICOTS and charged with training two lead trainers for each state. These lead trainers will be expected to train users in their respective states.

Online materials and opportunities will also be available so that users can train themselves. By using the web-based materials users can attend trainings as many times as they desire at their convenience.

#### Provided Training Materials

Appriss and the ICAOS project team have worked together in developing a variety of curriculum designed to assist in the training process. This curriculum will include a Leader Guide an ICOTS PowerPoint presentation and an ICOTS QuickStart Guide. To supplement the initial training, also being developed is an online self paced tutorial for some of the key functions of the system. All of the materials that will be provided will be reproducible for distribution within each state.

The materials that will be provided to the states are:

- Online User Manual: This manual is a comprehensive guide to the ICOTS system and will provide assistance to users at any level.
- Leader Guide: This guide is designed for the individuals expected to go forward in their state and train field users.
- QuickStart Guide: This is a quick reference guide that summarizes most of the functions that can be used in ICOTS.
- Web-based Training: This web-based training provides a narrator who guides the user through a short video that will demonstrate to the user how to complete some key tasks within ICOTS.
- WebEx Sessions: WebEx can be used to host remote trainings via the Internet. The National Office will coordinate efforts with states to use WebEx to

assist in statewide training efforts for interested states.

#### Upcoming ICOTS Training Announcements

Training materials are to be completed by the end of May and are subject to the approval of the Training Committee. The National Office anticipates making revisions based on the pilot before releasing the training materials to the full Commission. An announcement of the upcoming release dates is expected in the coming weeks.

The opportunity to utilize WebEx for in state training will be available, but the details of which are still being discussed by the Technology Committee. If you still have questions about training, the national office will gladly be of assistance. Please contact Sam Razor, [srazor@interstatecompact.org](mailto:srazor@interstatecompact.org) for additional information. ►►▲

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*Harry Hageman is the Executive Director for the Interstate Commission for Adult Supervision. He can be reached via email at [hhageman@interstatecompact.org](mailto:hhageman@interstatecompact.org).*



## Don Evans: The Musings of a Community Corrections Legend

*edited by the staff of the American Probation and Parole Association. Lexington, Kentucky: American Probation and Parole Association, 2008, pp. 383, \$40.00 (leather), \$14.00 (paper).*

Perhaps no person has had a greater impact on correctional organizations than Donald G. Evans, President of the Board of the Canadian Training Institute in Toronto, Ontario, who has served as President of the American Probation and Parole Association and the International Community Corrections Association. Moreover, he has served on various boards and committees of the American Correctional Association, National Association of Probation Executives and a host of other corrections organizations. Too, he has traveled the world for the purpose of studying other justice systems and to participate in international corrections conferences.

In addition to his involvement in professional organizations, Don has recorded an impressive history of government service in Canada that spans four decades. As a result of his career in criminal justice, coupled with his unquenchable thirst for knowledge and a commitment to disseminating what he has learned, Don has been a prolific contributor to criminal justice literature. From 1982 to the present, Don has published over 150 articles and book reviews in journals peculiar to the criminal justice profession. His scholarship has appeared in such publications as *Executive Exchange*, *Corrections Today*, *Correctional Options*, *Perspectives*, *Journal of Community Corrections*, *The Police Governor*, *Corrections Management Quarterly*, *CEP Bulletin*, *Texas Probation*, *The Volunteer Newsletter*, *Coast to Coast*, and the *Canadian Journal of Sociology*.

This year the American Probation and Parole Association, with the assistance of the National Association of Probation Executives, American Correctional Association and the International Community Corrections Association, published a collection of most of Don's writings. In the book's foreword, Carl Wicklund, Executive Director of the American Probation and Parole Association, writes:

*This collection of articles, interviews and essays written by Don Evans was created to honor and record his role in the development of a variety of community corrections practices and policies that serves as a lasting legacy of a respected and valued professional.*

*Canadian Don Evans has served as a leader, historian, sounding board, arbitrator, confidant, mentor, voice of reason, ambassador, harbinger, keynote presenter, scribe and a number of other roles for myriad permanent and ad hoc groups concerned with community corrections in the United States, Canada and throughout the world. He is internationally recognized for his insights, knowledge, worldview and forward thinking that have been presented through his speeches, training programs, consultations and writings. Most people who have paid attention to the evolution of community corrections over the past thirty plus years know of Don Evans or have read some pieces he has written on a subject related to community corrections.*

The book is divided into a number of sections: book reviews; criminal justice collaborations; specific issues; offender supervision; reentry; substance abuse; what works; youth violence; and APPA.

Carl Wicklund and the staff at the American Probation and Parole Association are to be commended for producing this lasting tribute to a wise correctional leader. Likewise, we are indebted to Don Evans for his willingness to share his wisdom and experiences with us. Don Evans: The Musings of a Community Corrections Legend is an excellent resource that should be in the personal libraries of all serious corrections practitioners.

As a closing thought, because Don remains active and continues to contribute to the scholarship of the corrections profession, APPA would be well advised to plan for a Volume II. ►►▲



# American Probation and Parole Association

# 33rd Annual Training Institute

## Activities at a Glance

### Saturday, August 2

12:00 p.m. - 5:00 p.m.	Institute Registration
9:00 a.m. - 5:00 p.m.	Leadership Institute

### Sunday, August 3

8:00 a.m. - 8:00 p.m.	Institute Registration
8:30 a.m. - 5:00 p.m.	Intensive Sessions
9:00 a.m. - 5:00 p.m.	Leadership Institute
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, August 4

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, August 5

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
12:30 p.m. - 1:45 p.m.	APPA Luncheon
2:00 p.m. - 3:30 p.m.	Workshops
3:45 p.m. - 5:15 p.m.	Workshops

### Wednesday, August 6

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

### Where It All Happens

All APPA workshops, intensive sessions, general sessions, resource expo and receptions will take place in the Rio All-Suite Hotel, 3700 W Flamingo Road, Las Vegas, NV 89103.

### It Pays to be an APPA Member

APPA members save \$60 in registration fees. It is not too late to take advantage of the savings. You can become a member of APPA when you register for the Institute. Just complete the membership section on the registration form, and your savings start immediately!

### How You Will Benefit!

- Learn fresh, new ideas from well-known experts.
- Experience innovative programming.
- Participate in stimulating discussions with your peers.
- Enhance your current abilities and qualifications.
- Discover “what works” from professionals in the field.
- 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
- public policy development
- academic studies

### APPA – At Your Service!

Discover what APPA can do for you. APPA staff and board members will be on-site to answer your questions and help you get the most out of your membership. Visit the APPA booth in the Resource Expo to get immediate assistance.

## Lodging Information

All APPA Institute activities will be held in the Rio All Suite Hotel and Casino. Standard suites are 630 square feet and include a lounge area and separate vanity and dressing area. Nationally recognized for its culinary excellence, the Rio boasts a total of 16 award-winning dining experiences.

APPA has secured a reduced rate of \$144 for single or double occupancy for Institute attendees at the Rio All Suite Hotel and Casino. To make lodging reservations, call the Rio at 1-888-746-6955. Please state that you are attending the American Probation and Parole Association Institute to receive the group rate.

Room rates are based on availability until July 10, 2008. A credit card is required at the time of booking and a deposit equal to one night's room & tax will be charged. A 72 hour cancellation notice is required prior to your arrival date to receive a refund of your deposit.

## APPA Membership Meeting

Wednesday, August 6 • 8:30 a.m. - 9:30 a.m.

All Institute registrants are encouraged to attend this informative membership meeting.

## APPA Committee Meetings

Did you know that APPA has over 20 committees seeking your participation? Most committees will meet on Saturday, August 2 or Sunday, August 3 and are open to all members. Plan to arrive early to get involved in your association. Check the APPA website at [www.appa-net.org](http://www.appa-net.org) for committee dates and times.

## Institute Orientation

Sunday, August 3 • 11:00 a.m. - 12:00 p.m.

First time attendees, our friends who travel from outside the United States and all new members or others just interested in learning more about APPA and the Institute are invited to attend an Institute Orientation where you will learn about the Institute's:

- Educational workshops and sessions
- Logistics
- Networking and social activities
- Resource Exhibit area

You will also meet APPA President, Executive Committee members, APPA staff and other VIP's.

## Student Registration

Are you a student majoring in criminal justice, law enforcement or public safety? Get ready for your future career!

Attend a full day of workshops, view the newest criminal justice products and services and network with the experts for just \$49. This special student rate allows a full day of admission to the American Probation and Parole Association 33rd Annual Training Institute on Tuesday, August 5, 2008. **Don't miss it!**

- Meet and learn from experienced professionals active in community corrections, probation, parole, juvenile justice and law enforcement.
- Bridge the link between theoretical discussions and practical applications when you discover "what works" from professionals in the field.
- Increase your exposure to issues and trends in criminal and juvenile justice.
- Gain information about future career opportunities.

A must for the new professional entering the criminal justice field! Experience the possibilities for your future. **Register by July 2, 2008.**

## Attention Tribal Agencies

Tribal agencies receiving funding under the Tribal Courts Assistance Program (TCAP) may use project training funds to attend the APPA Annual Training Institute. For more information, please visit the TCAP program web site: <http://www.law.und.edu/npilc/judicial/TCAP.php>



## The American Probation and Parole Association (APPA)

APPA is an international non-profit organization committed to innovative and effective probation, parole and community-based correctional programming. Membership is comprised of probation and parole line staff, supervisors, administrators, educators, volunteers and supportive friends from throughout the United States, its possessions and Canada. For further information about APPA, call (859) 244-8207 or visit our website at [www.appa-net.org](http://www.appa-net.org).

**Register  
before  
July 2  
to receive  
discounted  
registration rates!**

**For Further Information**

**Phone: 859-244-8204**

**Email: [kchappell@csg.org](mailto:kchappell@csg.org)**

**Website: [www.appa-net.org](http://www.appa-net.org)**

# Registration Information

## Student Registration – Attend Tuesday, August 5

Student registration includes all workshops and exhibit hall entrance for Tuesday, August 5. (Rate does not include lunch, however tickets may be purchased.) 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 July 2.**

## Intensive Training Sessions

The intensive training sessions may only be attended by individuals who are full registrants of the Institute. Class size is limited for each intensive session, so pre-registration is required. If your intensive session choice is filled, you will be notified and offered an alternative session or refund.

## 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 and the resource expo. The fee does not include admission to any intensive session. The luncheon is not included; however, tickets may be purchased separately for this event.

## Luncheon Ticket

A ticket for the luncheon is included in the early or regular registration fee. Registration fees for family members and students do not include a luncheon ticket. Luncheon tickets may be purchased for \$55. Extra tickets for guests may also be purchased separately.

## Institute Dress

All activities of the Institute are casual dress. A sweater or light jacket is recommended for the air conditioned meeting rooms that tend to vary in temperature.

## 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 August 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.

## Registration Procedures

**By Mail** – Registration for the APPA Institute can easily be done by mail. Just send your check, government purchase order or credit card information with your completed APPA registration form to the address shown on the form. **All registrations postmarked by July 18, 2008 will receive written confirmation.**

**By Fax** – For your convenience, when payment is by credit card, you may fill out the APPA registration form and fax it to (859) 244-8001, Attention — APPA Institute. All registrations faxed by July 18, 2008 will be confirmed by mail.

**Internet** – Register for the APPA Institute on-line at [www.appa-net.org](http://www.appa-net.org).

## Payment

Payment in full for all Institute activities must accompany your registration form. Check, money order, VISA, Master Card or American Express are accepted as payment for the Institute's registration fees. Checks must be made out to the American Probation and Parole Association and payable in U.S. dollars. Payments received in Canadian dollars will be invoiced for the conversion difference plus a \$10 service fee. Registrations postmarked on July 3, 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 July 2, 2008. **No refunds are available after July 2, 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 July 2, 2008. Registrations are not transferable.

## APPA Accredited Training Contact Hours

All APPA Institute workshops have been approved by the APPA Training Accreditation Committee for 1.5 contact hours.

If you need verification of your attendance at Institute workshops, check the Contact Hour section on the Institute Registration Form. You will receive an attendance verification form and specific instructions at registration. Please note only paid Institute registrants are eligible to receive the Certificate of Verification. A \$10 processing fee will apply.

## Why are contact hours valuable?

- Ensures workshop training/learning objectives
- Provides official verification of attendance at Institute workshops
- Meets professional licensing requirements

## Important Dates to Remember

<b>July 2</b>	<b>Last day to take advantage of early registration rates.</b>
<b>July 2</b>	<b>Deadline for early registration refund.</b>
<b>August 3</b>	<b>Institute activities begin.</b>

## Directory

Institute Registration	(859) 244-8204
Resource Expo	(859) 244-8205
Rio All-Suite Hotel	(888) 746-6955
Hertz Car Rental	(800) 654-2240
Sightseeing Information	<a href="http://www.visitlasvegas.com">www.visitlasvegas.com</a>
APPA Website	<a href="http://www.appa-net.org">www.appa-net.org</a>





**GUIDELINES FOR COMMUNITY SUPERVISION OF**

**DWI**

OFFENDERS

In spite of the tireless efforts of thousands of highway safety advocates over the past 25 years, drunk driving continues to be a major problem in this country. Every hour, drivers are arrested for driving under the influence or driving while intoxicated (DWI)<sup>1</sup>, and for many, this will not be their first offense. According to the National Highway Traffic Safety Administration (NHTSA), nationwide one person every 40 minutes, approximately 35 people a day, or nearly 13,000 people each year die in traffic crashes involving a vehicle driver or a motorcycle operator with a blood alcohol concentration (BAC) of .08 (NHTSA, 2006). In addition, some drivers are impaired by other drugs and medications. A study from the Substance Abuse and Mental Health Services Administration (SAMHSA, 2004) reports that in 2002 and 2003, 21 percent of persons aged 16 - 20 reported that they had driven in the past year while under the influence of alcohol and/or illicit drugs.

To protect the public and provide DWI offenders with adequate interventions to help promote behavior change, it is important for community corrections agencies to assess their practices and programs for this population. In 2004, the American Probation and Parole Association (APPA) entered into a cooperative agreement with the NHTSA to develop guidelines for the community supervision of DWI Offenders. The guidelines are intended to provide a framework for implementing, developing and operating effective programs for the community supervision of DWI offenders. They are recommended strategies for achieving the best possible outcomes and provide a structure on which to build a solid approach and direction to ensure long-term public safety by reducing recidivism through offender behavioral change.

## COMMUNITY SUPERVISION AS A RESPONSE FOR IMPAIRED DRIVING OFFENDERS

The concept of probation began in 1841 with the innovative work of John Augustus, a Boston boot maker, who was the first to post bail for a man charged with being a common drunk (Augustus, 1852). Since its simple beginning, probation has become the most common form of sentencing in the United States (Bonczar, 1997). According to the Bureau of Justice Statistics (BJS), in 2005, more than four million offenders were supervised on probation and nearly three-quarters of a million offenders on parole. Of the offenders placed on probation, about 50 percent were felons, 49 percent were misdemeanants and 1 percent had other infractions. Of all the offenders placed on probation in 2005, 26 percent were sentenced for a drug law violation and 15 percent had been sentenced for driving while in-

toxicated (Glaze, 2006).

According to the Uniform Crime Reports, in 2005, approximately 1.4 million arrests occurred for impaired driving, which creates an enormous burden on an already overwhelmed criminal justice system. (U.S. Department of Justice, 2006) For many DWI offenders, it is not their first offense. Thirty-four percent of DWI offenders in jail and eight percent on probation reported three or more prior arrests or convictions (Maruschak, 1999). Those with previous license suspensions and DWI convictions often have higher levels of blood alcohol concentration (by about 25 percent) when involved in fatal crashes than those without such history (Greenfeld, 1998).

The vast majority of convicted impaired driving offenders are supervised in the community. In 1997, almost nine in ten (89 percent) of convicted DWI offenders were on probation (Maruschak, 1999). Besides those sentenced to probation, offenders released on parole, pretrial release, diversion programs and others receiving alternate types of supervision (such as through a specialized court without formal probation) increase the numbers of individuals supervised by community corrections agencies (an inclusive term that incorporates probation, parole, pretrial release programs, diversion, specialized courts, etc.) specifically for impaired driving offenses. To facilitate positive changes in offender behavior and enhance public safety, agencies that provide supervision for DWI offenders in the community can benefit from guidance in developing and implementing more effective policies, procedures and practices for working with this population.

## THE CHALLENGES TO COMMUNITY SUPERVISION OF DWI OFFENDERS

Making the necessary changes to improve community supervision outcomes with DWI offenders is complicated by a variety of factors. Among the foremost problems faced by judges when sentencing DWI offenders is underestimating the impact of more serious offenders, including repeat DWI offenders and those with a high BAC of .15 or more, as well as incomplete or missing criminal history and traffic records. DWI offenders, especially those who are not being charged at a felony level, often are released after arrest on a minimal bond or without pretrial supervision due to these incomplete legal histories. In addition, diversion records are usually not documented on the individual's permanent driving record. This process often results in multiple diversion opportunities because the individual may incorrectly be considered a first-time offender. Related challenges also include the number of years during which a DWI conviction can be considered as a prior offense, and the accessibility





of prior records related to pretrial, diversion or conviction (National Association of State Judicial Educators and The Century Council, 2004). More needs to be done to check for prior criminal history and traffic records and assess all DWI offenders for risk *before* decisions are made regarding the type of supervision on which the offenders should be placed.

Community corrections professionals and agencies also face challenges to the supervision of DWI offenders. For example, community corrections caseloads often are inordinately high, making it difficult for staff to provide adequate supervision to offenders (Robertson and Simpson, 2003). According to Camp and Camp (2002), the average caseload for adult probation supervision in 2000 was 133 (range from 60 to 320); for regular adult parole supervision, the average caseload was 73 (range from 25 to 253), and the average caseload for combined probation and parole, was 94 offenders (range from 50 to 176). Extremely large caseloads (most of which are generalized caseloads that consist of persons who have committed a variety of offenses) make it difficult for supervising officers to meet the diverse and individual needs of the variety of offenders they supervise.

Because of ever-increasing workloads, high caseloads and static or shrinking funding, many agencies have been forced to provide less supervision for certain groups of offenders. In some cases, agencies have elected to not provide direct supervision to misdemeanor offenders and have placed them on “banked” caseloads so that they may only report by mail or be contacted if they fail to comply with a court-ordered sanction. Many impaired driver offenders, no matter how potentially lethal, are only charged as misdemeanants and, therefore, are placed in banked caseloads and do not receive active supervision.

The offenders themselves can also bring in more complicating factors. In 1997, 37 percent of DWI offenders under community corrections supervision exhibited indicators of past alcohol dependence and more than half had received alcohol treatment or participated in a self-help program in the past. (Maruschak, 1999) Addiction is a chronic, relapsing disorder. It requires ongoing treatment to achieve stabilization and assisting individuals to improve their functioning and to remain in recovery. For impaired drivers whose crimes are related to addiction or problem use of alcohol and other drugs (AOD), requiring that they obtain and participate in appropriate treatment services is an important component of effective supervision in the community. This adds a special challenge to the supervision process. While corrections and substance abuse treatment services have many commonalities, they also may have many dif-

ferences, including different missions, vocabularies and practice methods. Community corrections professionals must develop effective working relationships with substance abuse treatment providers so that they can effectively monitor and support offenders’ involvement in treatment.

Added to the complexity of all of these other issues is the common occurrence of poly-substance use among impaired driving offenders, including use of alcohol combined with any number of other often illegal drugs. As different treatment modalities may be appropriate for different substances of abuse, it may be necessary to coordinate multiple treatment modalities for one client or to find one treatment program that can combine treatment modalities.

Finally, substance abuse may often co-occur with mental illness. Indeed, it is widely believed that some mentally ill individuals turn to legal and illegal substances to self-medicate their illnesses. Again, multiple treatment programs or programs that combine substance abuse and mental health treatment may be necessary, increasing the tasks and skills required to supervise these offenders.

## GUIDELINES FOR THE COMMUNITY SUPERVISION OF DWI OFFENDERS

To protect the public and provide DWI offenders with adequate interventions to help promote behavior change, it is important for community corrections agencies to assess their practices and programs for this population. The *Guidelines for the Community Supervision of DWI Offenders* developed by APPA with funding from NHTSA, is intended to provide a framework for developing, implementing, and operating effective programs for the community supervision of DWI offenders. The guidelines are recommended strategies for achieving the best possible outcomes and providing a structure from which to build a solid approach and direction, to ensure long-term public safety by reducing recidivism through offender behavioral change.

Because of the dearth of evaluative literature specific to the community supervision of DWI offenders, there were several places from which information was gathered. This information serves as a foundation for the development of the guidelines. First, the APPA administered an online questionnaire to probation, parole and community corrections agencies across the nation to gather specific agency-based information on current community corrections policies, strategies and supervision practices for pre-trial defendants or convicted impaired driving offenders. The questionnaire was completed by 129 agencies in 29 states and provided information related to their current

practices and supervision practices. In addition, wherever possible, the guidelines were based on principles of evidence-based practices for risk reduction defined by the National Institute of Corrections (National Institute of Corrections, n.d.; Bogue, et al., 2004), as well as key components of the DWI/Drug Court Model (National Association of Drug Court Professionals, 1997) that have been proven to be effective.

The following section provides a brief overview of the guidelines for community supervision of DWI offenders. For more detail, download the *Guidelines for the Community Supervision of DWI Offenders* from the APPA website at [www.appa-net.org](http://www.appa-net.org).

### *Investigating, Collecting and Reporting Information*

Guideline 1 specifies that community corrections professionals should investigate, collect and report relevant and timely information that will aid in determining appropriate interventions and treatment needs for DWI offenders during the release, sentencing and/or supervision phases. In any field of endeavor, it is difficult—if not impossible—to make an informed decision about an effective problem resolution without relevant and timely information. The same holds true for decisions related to the best strategy for responding to and working with DWI offenders. Complete, pertinent and timely information about the offender including his or her criminal history, driving record, risk and needs and substance abuse dependency is crucial to working effectively with DWI offenders—from the point of sentencing through the community supervision process. Community corrections professionals often are ideally situated and equipped to gather this information for releasing and sentencing authorities.

Information obtained from a risk and needs assessment yields pertinent information that can help in determining the best interventions for a DWI offender. However, while the risk and needs assessment provides a means for gathering useful information on criminogenic needs of offenders that can assist in decision-making about release, sentencing and case or supervision planning, traditional risk and needs assessment instruments used in a justice setting may not accurately depict the re-offending risk of the impaired driving offender. These instruments are developed and normed on the criminal offender population. The DWI offenders are different in key ways which can make the traditional assessment instrument ineffective.

Most DWI offenders are misdemeanants and are rated at a lower risk level than felony offenders because of this offense level categorization. In addition, many DWI offenders score as

low risk because past criminal history is likely to be lower level offenses (e.g. worthless checks, disorderly conduct, previous DWI) and nonviolent. Although unstable at times, DWI offenders also are typically able to maintain some level of employment and residence and marital relationships—if existing—are usually intact, if unstable. Even though they may score low risk on many scales, alcohol and drug impaired drivers are potentially very dangerous and pose a substantial risk to public safety (Levitt & Porter, 2001). This is due in part to the fact that many persons who are arrested and convicted of DWI continue to drive impaired (NHTSA, 1995) and maintain an attitude that it is okay to drink or use drugs and drive. NHTSA (1995) reported that the likelihood of arrest for DWI varies from 1 in 200 instances in some communities to 1 in 2,000 in others.

#### **GUIDELINE 1**

Investigate, collect, and report relevant and timely information that will aid in determining appropriate interventions and treatment needs for DWI offenders during the release, sentencing, and/or supervision phases.

#### **KEY POINTS**

- Gather information on the offender's prior criminal history and traffic record.
- Conduct an actuarial risk and needs assessment on DWI offenders.
- Screen and/or assess DWI offenders for substance abuse issues.
- Screen and assess DWI offenders for poly-substance abuse and mental health issues.
- Whenever possible, prepare and provide a prerelease report to releasing and presentence report to sentencing authorities.
- If not collected (or complete) at the presentence phase, collect information prior to case or supervision planning.



When viewed from this context, it is likely most first time DWI offenders have actually driven while impaired numerous times before they were caught and arrested. It is important, however, to recognize that not all alcohol or drug impaired driving offenders have the same level of addiction or treatment needs. Therefore, it also is important to screen and/or assess offenders to determine the extent of their substance use and abuse and the level of risk they pose to the public. The results can also provide insight into the most appropriate level of supervision (frequency and intensity) needed for each offender. For example, screening and assessment can help identify those offenders who are in the most need of help in controlling their substance

abusing behavior, who pose the most risk to the public and who may require the use of specialized technology (e.g., continuous transdermal monitoring) during the supervision process (Robertson, Vanlaar, & Simpson, 2006). It can also help assure that DWI offenders are matched with the most appropriate intervention and treatment services that will translate to a lower risk of recidivism.

Gathering information and performing screening and assessments on offenders is not enough—information must be provided to the appropriate people so it can be utilized during decision making and case planning. Presentence investigation reports (PSI) are one way (and probably the most common way) that information is provided to sentencing judges. In addition to reporting offender information, the person preparing the PSI also can make recommendations for conditions of supervision or release (Wahl, 1994). To ensure public safety, as well as to promote the desired behavioral changes, Wicklund (2005) recommends conditions of supervision or release be based on the needs of the offender identified during the investigation process including any appropriate treatment needs and that the conditions be realistic, relevant and/or research supported.

## **GUIDELINE 2**

**Develop individualized case or supervision plans that outline supervision strategies and treatment services that will hold DWI offenders accountable and promote behavioral change.**

### **KEY POINTS**

- Develop individualized case or supervision plans on DWI offenders.
- Base elements of the case plan on information collected related to the offender's history, risk and criminogenic needs, and substance abuse issues.
- Involve the offender in the development of the plan.
- Develop goals and objectives in the plan that are strength-based.
- Include graduated responses that are tied to the offender's completion or lack of completion of objectives.
- Develop a behavioral contract (signed by the offender) outlining supervision goals and strategies.
- Match the offender with appropriate treatment services based on their indicated needs.
- Identify services and support needed to help offender accomplish his or her goals and objectives.
- Reevaluate the case or supervision plan with the offender and treatment providers regularly to determine if adjustments need to be made.

### **Developing Case Plans**

According to Harris (1994, p.19), "When assessment and planning do not occur or are conducted poorly, supervision is haphazard, conducive to negative outcomes and ultimately indefensible." Therefore, guideline 2 specifies that community corrections professionals should develop individualized case or supervision plans that outline supervision strategies and treatment services that will hold DWI offenders accountable and promote behavioral change. Using information obtained from a presentence report including, but not limited to, the prior criminal history and traffic record of the offender, the risk/needs assessment and AOD screening and/or assessment the supervision officer should develop an individualized supervision case plan (with assistance and input from the offender). The case plan will identify appropriate supervision strategies and treatment interventions that will assist the offender in understanding his or her behavior, learn to manage his or her behavior and comply with societal norms, and, ultimately, engage the offender in a process of behavioral change (Taxman, 2002).

For DWI offenders, the need for substance abuse treatment is often a reality and, when warranted, should be incorporated within the supervision case plan (National Institute on Drug Abuse, 2006) along with supervision strategies aimed at addressing other criminogenic needs. Appropriate alcohol and



drug treatment for offenders who abuse substances can improve community supervision outcomes (e.g., decreased future alcohol and drug use, improved relationships with family members, improved employability). In addition, research indicates that persons who are coerced by the criminal justice system to enter into treatment are just as likely to do as well as someone who voluntarily enters alcohol and drug treatment. However, it is important for community supervision officers to recognize that not all offenders who have a history of alcohol or drug use need treatment. In addition, not all offenders who are identified as substance abusers need the same type of treatment (NIDA, 2006).

AOD screening and assessment is a crucial step in identifying who may need more in-depth treatment. Another crucial step in targeting offenders for appropriate treatment services is communication and collaboration with treatment providers. Early (and sustained) involvement of treatment providers will not only help target offenders for appropriate services and encourage participation in those types of services, but it also can help treatment providers incorporate other supervision requirements as treatment goals (e.g., abstinence from alcohol and drug use; housing and childcare; medical, psychiatric, and social support services; vocational and employment assistance) (NIDA, 2006).

### *Balancing Supervision Strategies*

The ultimate goals of supervision when working with DWI offenders are to: (1) enforce the conditions of supervision to hold offenders accountable for their current offense; (2) monitor offender behavior and compliance to protect public safety; and (3) assist offenders in behavioral changes to reduce/prevent the likelihood they will engage in this type of behavior in the future. This requires community supervision officers to perform dual roles as an enforcer of rules and as a facilitator of behavioral change. The conflict that supervision officers often feel between these two roles is not new; however, a results-oriented approach to supervision demands that a variety of strategies be employed to effectively reduce recidivism.

Guideline 3 stipulates that community corrections professionals should implement a supervision process for the DWI offender that balances supervision strategies aimed at enforcing rules with those designed to assist offenders in changing behavior. Blending the enforcement role of supervision with the rehabilitation role of supervision offers opportunities for holding offenders accountable and for changing offender attitudes and behaviors—all of which ultimately leads to enhanced public safety (Taxman, Shepardson & Byrne, 2005).

According to Robertson and Simpson (2003), some DWI offenders, particularly repeat offenders, quickly learn that weaknesses in the monitoring process means that they do not necessarily have to comply with some or all of their conditions of supervision. When offenders are able to circumvent penalties and avoid compliance, it compromises public safety and can result in more problematic behavior by the offender. Research also shows that for sanctions for noncompliance to be effective, they must be swift and certain (Taxman, Soule & Gelb, 1999).

Ensuring that offenders comply with their conditions of supervision and that issues of noncompliance are addressed in a timely manner can only be accomplished through close and consistent monitoring practices. Today, there are many tools and technologies available that can assist in more timely and effective monitoring of DWI offenders that allow the offender to remain employed or in school, live at home and continue to be involved in prosocial activities.

### **GUIDELINE 3**

**Implement a supervision process for DWI offenders that balances supervision strategies aimed at enforcing rules with those designed to assist offenders in changing behavior.**

### **KEY POINTS**

- Develop and implement supervision strategies based on evidence-based practices.
- Focus on supervision strategies that enforce rules and facilitate behavioral change.
- Monitor DWI offenders closely and consistently.
- Apply graduated sanctions and incentives in a swift and certain manner.
- Understand the impact of the cycle of addiction and the stages of change on the supervision process.
- Develop rapport and utilize good communication skills designed to increase DWI offenders' motivation to change and decrease their resistance and ambivalence to the change process.
- Assist the offender in accessing needed services and treatment.
- Take advantage of tools and technologies available to aid in the monitoring of DWI offenders.



While it is sometimes easier to devote more time and energy to the enforcement aspect of monitoring, it is important that the rehabilitative side (i.e., behavioral change) not be ignored in the process (Robertson & Simpson, 2003). This concept is reinforced by Petersilia (1999) who examined research on intensive supervision programming and concluded that control-oriented supervision has little impact on recidivism unless it is coupled with a therapeutic approach. In a 14-site study of intensive supervision programs, it was found that offenders who had some counseling services (e.g., substance abuse, employment) tended to have better outcomes than those who were only subjected to surveillance (Petersilia & Turner, 1993). It is well established that alcohol and drug addiction is a brain disease that affects behavior and that DWI offenders who have alcohol and drug addiction issues may experience relapses or return to alcohol and drug use (NIDA, 2006).

In addition, most offenders begin the supervision process denying their wrongdoing and resisting the idea that they must change their behavior. The rehabilitative or behavior side of supervision recognizes that learning and sustaining new behaviors is part of enhancing public safety. As such, supervision officers should incorporate strategies during the supervision process that will help facilitate offenders' movement through the change process. Likewise, offenders must proactively participate in the change process or face the consequences (Taxman, Shepardson & Byrne, 2005).

A powerful tool that community corrections agencies can provide supervision officers to aid in the supervision process is a series of graduated (less to more severe or intense as the action indicates) responses that they can use to encourage compliance and behavioral change. These responses should encompass a balance of sanctions (e.g., disciplinary action aimed at noncompliant behavior) and incentives (e.g., motivational response designed to reinforce positive behavior) [NIDA, 2006]. The use of graduated sanctions and incentives is a key component of drug courts and a contributor to their success (Lindquist, Krebs & Lattimore, 2006). Yet, these are strategies that also can be applied administratively in the community supervision process outside the bounds of a courtroom.

Taxman, Soule and Gelb (1999) indicate that graduated responses provide supervision officers with a mechanism for working with offenders with chronic relapsing conditions (such as substance abuse) and changing offender behavior by dealing with the addiction disorder. Substance abusers tend to discount future consequences (Murphy, Vuchinich, & Simpson, 2001). Therefore, the use of graduated sanctions and incentives are more like-

ly to have the desired effect with DWI offenders when they are perceived as fair and when they occur soon after the behavior at which they are aimed (NIDA, 2006). In addition, the Massachusetts Supreme Judicial Court's Standards on Substance Abuse indicate the appropriate response to a relapse must be fashioned based on each offender's individual needs, history of substance abuse, and previously utilized treatment modalities (Massachusetts Supreme Judicial Court Standing Committee on Substance Abuse, 1998). Further recommendations by Monchick, Scheyett and Pheifer (2006) indicate that responses should be treatment-relevant, strength-based, and consistent with program or agency philosophy.

#### GUIDELINE 4

Where possible, develop partnerships with programs, agencies, and organizations in the community that can enhance and support the supervision and treatment of DWI offenders.

##### KEY POINTS

- Identify and develop partnerships with service and treatment providers that will enhance supervision services and meet the needs of DWI offenders.
- Develop written agreements that support and outline how the partnership will function.
- Develop written policies and procedures regarding inter-agency partnerships.
- Understand how information flows intra-agency and interagency and identify the impact on privacy.
- Discuss information sharing needs with partner agencies and strive to overcome barriers related to information exchange.

##### Developing Partnerships

Guideline 4 recommends that, where possible, community corrections agencies develop partnerships with programs, agencies, and organizations in the community that can enhance and support the supervision and treatment of DWI offenders. It is important for community corrections agencies and supervision officers to know what resources are available in their communities that will assist them in supervising and meeting the treatment needs of DWI offenders.

Community corrections agencies and supervision officers often are under considerable programmatic, time and budgetary

constraints. Communities also have limited financial and human resources. This lack of sufficient resources poses a serious impediment to enforcing and reinforcing compliance (Robertson and Simpson, 2005). Effective collaboration can expand the range of supervision strategies and services that community correction agencies can offer to offenders. Purposeful collaboration with community partners will improve the system's ability to sort and match resources to offenders needs, helping community corrections agencies use scarce resources more effectively, while enhancing public safety (Cohen, Mankey & Wendt, 2003). In addition, effective partnerships with community agencies also help build support and ties with the community and decrease role confusion and duplication of services among service providers.

When forming partnerships with other agencies, there needs to be a shared vision and understanding about how services will be delivered; otherwise, the partnership may produce unsatisfactory results. Misunderstanding, misconceptions and miscommunication weaken partnerships. Formulating an understanding of what and how services will be delivered gives both sides opportunities to avoid and resolve issues that can make the exchange of services more effective and efficient. It also presents an opportunity to discuss how each program, agency or organization will conduct future evaluation efforts and how and what type of information can be shared (Godwin, Heward, & Spina, 2000).

A key element in the development of effective interagency partnerships is the ability to share pertinent information. NIDA (2006) indicates the coordination of alcohol and drug abuse treatment with community supervision planning can encourage participation in alcohol and drug abuse treatment and can help treatment providers incorporate community supervision requirements as treatment goals. In a study conducted by Robertson and Simpson (2005), the majority (88 percent) of probation officers agree that improved information sharing and communication with treatment providers would greatly improve their ability to supervise offenders and encourage compliance with court-ordered sanctions.

There are often long-standing and substantial barriers that must be addressed when developing a plan for more effective and efficient information sharing among agencies. One obstacle to information sharing encountered by many community supervision agencies and treatment providers can be attributed to tension about how cases should be managed that sometimes results from the philosophical differences between the two disciplines. For example, some treatment providers feel that community corrections officers are overly invasive and want to dictate the terms of treatment. Additionally, some treatment providers feel the "en-

forcement" aspect of working with offenders gets in the way of the therapeutic process. If a client comes to a session and admits they have relapsed or produces a positive urine sample, the drug counselor may recognize that relapse is part of the recovery process but may be apprehensive about sending that information to the community corrections officer because they feel the officer may use it to revoke their client's probation or parole (Cohen, Mankey & Wendt, 2003).

Other barriers to information sharing may include, agency policies regarding privacy and confidentiality, misunderstandings about provisions outlined in the Health Insurance Portability and Accountability Act (HIPAA), lack of understanding and agreement on the type of information that should be shared, and mistrust of how information will be used. Regardless of the barriers that need to be overcome, the benefits to information sharing (e.g., increased public safety, more effective services and interventions for offenders, decreased recidivism) outweigh the costs. The development of privacy and information sharing policies also ensures "that issues and concerns are addressed before individual harm occurs or practices become a matter of agency or administrator embarrassment, criticism, or liability (U.S. Department of Justice Global Advisory Committee, 2005, p. 7). Ultimately, solid privacy and information sharing policies help protect agencies and make it easier to share information.

## GUIDELINE 5

**Supervision staff should receive training that will enhance their ability to work effectively with DWI offenders.**

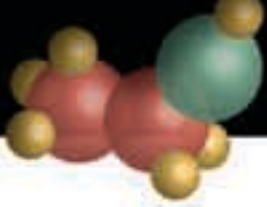
### KEY POINTS

- Provide training to staff on evidence-based practices that support the effective supervision of DWI offenders.
- Assure staff receives training on substance abuse, cycle of addiction, and the stages of change.
- If your agency does not provide formal training, educate yourself.

### Training Staff

When community corrections staff do not receive adequate training and resources to aid in their supervision of DWI offenders, it compromises the effectiveness of community supervision as a sentence and jeopardizes public safety. Guideline 5 recommends that supervision staff should receive training that will enhance their ability to work effectively with DWI offenders.





Supervising and monitoring DWI offenders can be complex, involving a broad range of conditions with varying levels of supervision that rely on considerable cooperation and coordination with a variety of other justice and community agencies, including treatment providers (Robertson and Simpson, 2003). Alcohol and drug addiction has well-recognized cognitive, behavioral and physiological characteristics that compel many offenders to continue to use substances, despite the harmful consequences to themselves and others (NIDA, 2006). Staff training on addiction issues and other needs of DWI offenders (e.g., poly-substance use, co-occurring mental disorders), as well as on the operation and effectiveness of various sentences and programs they are required to monitor and technologies they are able to use (Robertson & Simpson, 2003), can equip community corrections professionals to establish more effective supervision case plans, as well as help them employ more effective case monitoring practices.

#### **GUIDELINE 6**

**Assess the effectiveness of supervision practices on DWI offender through both process and outcome measures.**

##### **KEY POINTS**

- Evaluate your agency's effectiveness in supervision of DWI offenders.
- Assess process and outcome measures.
- Learn from and share evaluation results.

#### *Assessing Effectiveness of Supervision Practices*

Guideline 6 states that agencies should assess the effectiveness of supervision practices on DWI offenders through both process and outcome measures. Monitoring performance and outcomes in the supervision of DWI offenders is a basic ingredient to agency and program accountability. While often feared and avoided, evaluation can create a learning environment that allows agencies to improve policy, procedures and practices. Evaluation highlights positive outcomes, uncovers ineffective practices, guides agencies to explore alternative methods for achieving stated goals, and positions agencies to demonstrate results and better compete for limited funds.

The results-oriented approach to evaluation examines two types of measures—process measures and outcome measures.

Process measures help programs obtain fundamental feedback on whether the program or practice is being implemented or operated according to specifications (i.e., was the program or practice implemented as designed?). Examining process measures helps to explain why particular effects were produced and identify how processes can be modified to produce desired outcomes (Blalock, 1990). By controlling process, programs can control outcomes. Outcome measures are needed to assess a program's immediate, intermediate, and ultimate effects (i.e., what impact did the program or practice have?). By measuring outcomes, community supervision agencies can better assess the effectiveness of various activities and program components, learn from successes, and fine tune the program's practices (Boone and Fulton, 1995).

Evaluation efforts need to be ongoing because program evaluations only provide outcomes for a specified period of time. Periodic evaluations are necessary to use evaluation as a framework for continual program improvements. More frequent evaluations when new policies or practices are being implemented can be especially helpful as they can facilitate the transition from a conceptual framework into actual program practice. Intermediate results can be used to make midcourse corrections in practices or procedures that may be necessary to address unexpected challenges.

#### **CONCLUSION**

There may be instances where an individual agency may not be able to implement one or more of the recommended guidelines for the community supervision of offenders who drive while impaired. It is more practical to view an individual agency's adherence to these guidelines in terms of a continuum. A guideline that may not be able to be implemented today may be able to be implemented in the future as the agency's circumstances, needs or resources change. Therefore, supervising officers and probation and parole agencies should view the guidelines for community supervision of DWI offenders as benchmarks for success.

The *Guidelines for Community Supervision of DWI Offenders* lists suggested implementation strategies for each of the guidelines addressed above. The strategies include considerations from a policy and a practice perspective for how to put the guideline into action. The suggested implementation strategies are not meant to be prescriptive and should not be confused with the guideline itself; they are merely suggestions on how community supervision agencies or supervision officers can achieve the intent of the guideline. At the conclusion of the *Guidelines for the Community Supervision of DWI Offenders*, there is also a supplemental information related to additional readings and resources, alcohol and drug screening instruments, supervision case plans, behavior-

al contracts, graduated sanctions and incentives, tools and technologies, promising practices and strategies, and evaluation measures.

Drinking and other drug impaired drivers indiscriminately kill or injure many innocent men, women and children each day. The goal of community corrections agencies providing supervision for DWI offenders is to ensure long-term public safety by reducing recidivism through behavioral change. Community corrections agencies now have specific direction on how they can begin developing policy and practice that will enhance their services to this population. While agencies should examine and reassess their strategies for supervising all DWI offenders, it is evident that a significant portion of the negative effects caused by drinking and driving is attributable to a high risk group of repeat and habitual alcohol or drug impaired drivers. According to The Century Council (2006), in 2005, 59 percent of drivers involved in alcohol-related traffic fatalities in 2005 involved were classified as a high BAC driver, and 73 percent of repeat DWI offenders involved in a fatal vehicle crash had a BAC level of .15 or higher. In the same way that the risk principle in evidence-based practices directs community corrections agencies to focus primarily on high risk criminal and delinquent offenders, agencies certainly need to make concerted efforts to target the high BAC and repeat alcohol and drug impaired drivers for more effective community supervision practices. ►►▲

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## ENDNOTE

- 1 Various terms are used to describe impaired driving. State laws generally use the terms Driving While Impaired (DWI) and Driving Under the Influence (DUI); advocacy groups and members of the public may use the term "drunk driving." For the purposes of this article the term "driving while impaired" (DWI) is being used as an inclusive and generic term and will include the use of alcohol, drugs, and prescription medications—separately or together.

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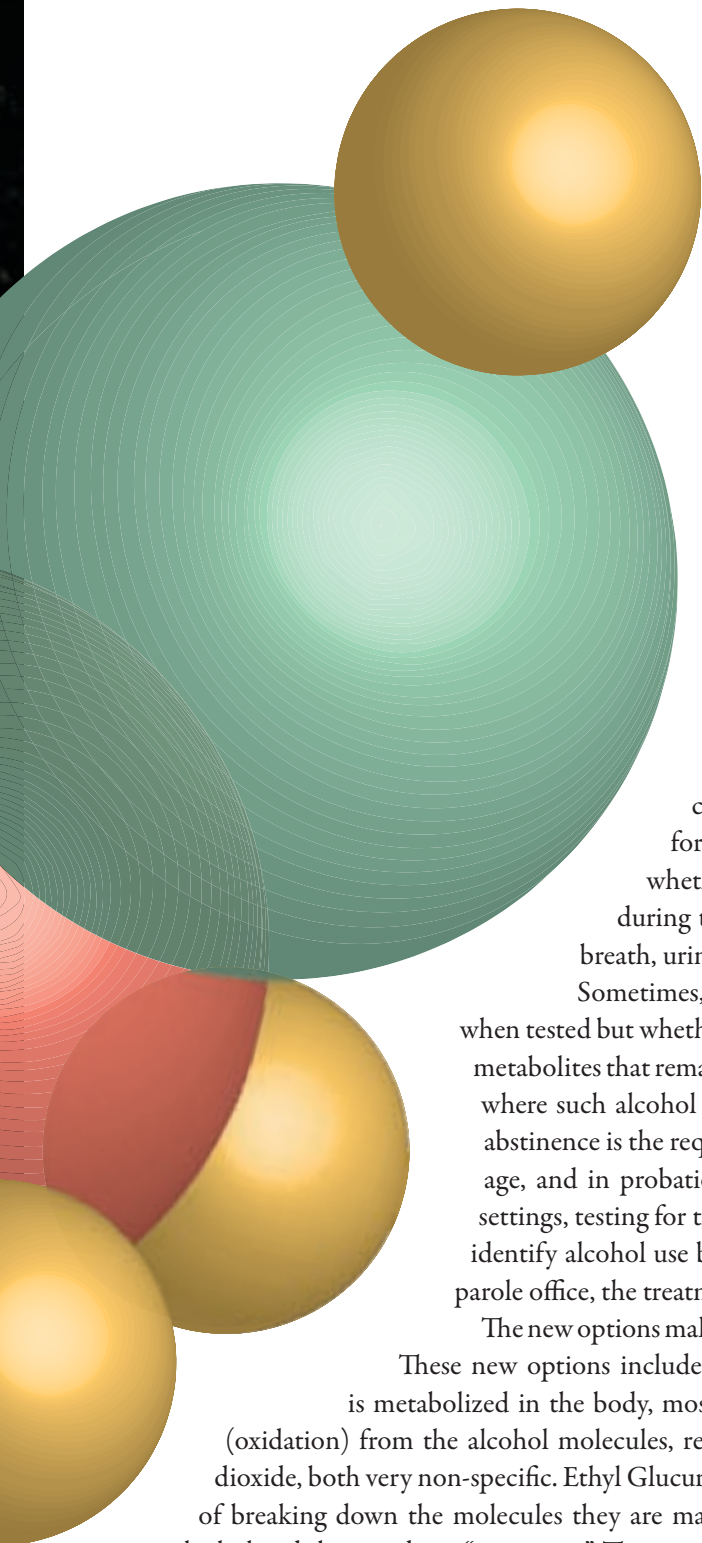
Drug testing is a powerful tool in the prevention, early intervention, treatment and the management of drug-related problems. Over the past 25 years, drug testing has dramatically increased in business and industry, the U.S. military, secondary schools, professional sports, addiction treatment programs, the criminal and juvenile justice systems and the child protection system. The Achilles' heel to the current system of drug testing has been that routine testing procedures until recently excluded the most widely used intoxicant in the United States:



ALCOHOL

TESTING FOR RECENT ALCOHOL USE





Monitoring individuals for recent alcohol use is hampered by the rapid metabolism of alcohol. Until recently, this has limited alcohol testing to a few hours after drinking stops. Several new developments are making it easier to test for alcohol use in the three to five days preceding the test by identifying the presence of alcohol metabolites (the by-products of the body's processing of alcohol). This is especially important in monitoring alcohol use in settings in which no alcohol use is permitted, e.g., alcoholism and drug abuse treatment, professional assistance programs, abstinence as a condition of probation or parole or child custody and for people under the legal drinking age. This article describes these new testing procedures and suggests ways they can be successfully integrated into a comprehensive probation-and parole-based alcohol and drug testing program. Because these tests for alcohol use are new, the practice guidelines are evolving rapidly. We describe the current best practices in the new testing procedures and we recommend checking with the providers of the tests that are used to keep up with future developments.

Most drug testing today uses urine samples. The most common drug test panel is the so-called "NIDA-5" used to identify the five drugs mandated in federal workplace testing guidelines: opiates (morphine/codeine), marijuana, cocaine, PCP, and amphetamine/methamphetamine. Unfortunately, this limited testing panel falls short of detecting many commonly used drugs and in detecting alcohol use. Of course, alcohol is a "legal" drug, but not for everyone. In the workplace where most workers are 21 or older, alcohol use outside of work is legal so the only question in that setting about alcohol is whether the worker is impaired by alcohol consumption at or just prior to work. For this purpose breath and saliva tests for alcohol levels are appropriate. Similarly, if there are questions regarding whether a child is intoxicated at school or in another setting or has been drinking during the preceding few hours, then testing for alcohol itself is appropriate using breath, urine or saliva.

Sometimes, however, the question is not whether the tested person is acutely intoxicated when tested but whether the person has used alcohol at all. Tests are now available to detect alcohol metabolites that remain in the body at measurable levels for up to five days after drinking. Examples where such alcohol testing is appropriate include drug and alcohol addiction treatment where abstinence is the requirement, school-based testing for students who are under the legal drinking age, and in probation and parole supervision where alcohol use may be prohibited. In these settings, testing for the presence of alcohol itself (the traditional test for alcohol) is a poor way to identify alcohol use because almost all drinking occurs hours before coming to the probation or parole office, the treatment program or the school.

The new options make alcohol testing practical in settings in which any alcohol use is unacceptable.

These new options include ethyl glucuronide (EtG) and ethyl sulfate (EtS). Normally, when alcohol is metabolized in the body, most of the breakdown occurs by chemical systems that "take away" electrons (oxidation) from the alcohol molecules, resulting, for alcohol breakdown, in the final products of water and carbon dioxide, both very non-specific. Ethyl Glucuride and EtS, however, are formed by "non-oxidative" pathways where instead of breaking down the molecules they are made more complex by combining with larger molecules that deactivate the alcohol and thus render it "non-toxic." These non-oxidative metabolites, in the case of alcohol, EtS and EtG, are then slowly



*“Because*

*alcohol is*

*metabolized*

*fairly rapidly,*

*alcohol itself*

*is not usually*

*detectable*

*for more than*

*six to eight*

*hours following*

*drinking.”*

eliminated in the urine, making them excellent markers for recent drinking. These tests combined with on-site breath or saliva testing, which detect very recent drinking that can be done, for example, when a probation or parole officer (PPO) sees an offender in the field or at home, help cover the full spectrum of detection, both immediate and longer term. (Wurst, Skipper & Weinmann, 2003; Wurst, Vogel, Jachau, et al, 2003).

Additionally, new devices are being developed and studied that detect transdermal diffusion of alcohol (i.e. alcohol excreted through the skin). One such device, TruTouch, can be used in the probation or parole office to measure blood alcohol by placing the hand on the device. There are similar devices that can now be securely placed onto the ankle and worn continuously. Data from the device is downloaded to a monitoring station. Currently there are two commercially available mobile devices: SCRAM (Secure Continuous Remote Alcohol Monitor), and WristAS (Wrist Transdermal Alcohol Sensor). These devices measure alcohol passing from the blood through the skin and transmit data to the monitoring authority. These devices have been studied by the National Highway Traffic Safety Administration (NHTSA) and reports regarding validity are encouraging (Marques and McKnight, 2007). Drawbacks include cost at approximately five dollars per day and the discomfort of wearing a device continuously.

There are also remote electronic alcohol monitoring systems that combine random call schedules with a device that measures and transmits alcohol exposure through a voice-recognition, camera-equipped breathalyzer (e.g., products like the Sobriotor).

## TESTS AVAILABLE FOR ALCOHOL – THE BIG PICTURE

When people use drugs, including alcohol and tobacco, the drugs are distributed throughout the body. The drugs and their metabolites are excreted in the urine and are present in sweat, saliva and growing hair. There are a few exceptions. For example, alcohol itself is not detectable in hair, but the metabolites, EtG and EtS can be detected in hair (Politti et al., 2006).

Oral fluids are tested by taking a sample of saliva from a person’s mouth (by swab, dipstick or pipette). The window of detection of most drugs in oral fluids is from about 12 hours up to two to three days. Some drugs cannot yet be tested in saliva, including EtG and EtS at this time; however, saliva testing for the presence of alcohol is available and has approximately the same window of duration of detection as blood alcohol, usually a few hours after drinking stops.

## TESTS FOR DIRECT DETECTION OF ALCOHOL

### Blood Tests for Alcohol

Blood tests for alcohol can be obtained at laboratories, urgent care clinics and emergency rooms. A blood alcohol test is relatively cheap, about \$15, but requires a medical professional and often requires a physician evaluation and an additional physician or clinic fee. Policies governing blood tests vary by community and by laboratory. To obtain a blood test, it is necessary to transport the individual to the site and to draw blood. For these reasons, other types of alcohol tests are usually preferred.

### Breathalyzer Testing

Breath tests for alcohol are easy to use, less invasive, less troublesome and – except for the initial cost of the breathalyzer equipment – much less expensive than blood tests. For breath testing the individual blows steadily and deeply into the breathalyzer. The reading is evident shortly after the device is triggered automatically following blowing a deep breath into the device. Some individuals attempt to cheat by feigning inability to blow deeply (the so called, “shy lung” syndrome). Only

someone with severe heart or lung disease would actually have trouble blowing adequately into a breathalyzer. It is easy to check that the breathalyzer is functioning by having someone else blow into the device to assure that it triggers a reading.

Testing breath for alcohol within a few hours of drinking will identify alcohol. However, after a few hours or more, the test will be negative because the alcohol will have dissipated. On-site breath tests for alcohol can be administered by PPOs in the office or in the field when alcohol use is suspected. They can also be administered by school officials at school parties and events and by parents at home. A breathalyzer adequate for occasional use can be purchased over the Internet for as little as \$50 (e.g. Alcohawk micro, or other similar devices), and more sophisticated, elaborate (sometimes with printout capability) are available for \$1,000 or more. Breathalyzers should be calibrated occasionally to maintain their accuracy. Manufacturers provide a method for calibration.

### Saliva Testing for Alcohol

Saliva testing strips or kits for alcohol testing are readily available from drug treatment clinics, at some drug stores and over the Internet. Saliva alcohol levels correlate with blood and breath alcohol levels, however, they are less precise (being measured only at intervals such as .02, .04, .06, etc.). Oral fluid alcohol tests cost about \$3 per test and are available for purchase over the internet (e.g. Alcoscreen, Q.E.D. tests, and others).

Instructions are included with the tests and are easy to follow. Usually a test strip is placed under the tongue until wet and then is read after one minute. If there is a line on the strip, it is positive. Some strips have colors that are compared to a chart. Another saliva kit requires drawing some saliva from under the tongue using a small suction pipette supplied with the kit. A drop of saliva is then placed in a well on the test device and it absorbs onto the test area and the result is read.

### Urine Testing for Alcohol

Since urine is collected in the bladder for a few hours until the next voiding, it may be positive for alcohol a few hours longer after drinking stops than the blood, breath or oral fluid alcohol tests. Urine alcohol testing is most often used if a urine sample is collected to be sent to a laboratory for other drug testing. An alcohol level can be requested and added to a drug test. Adding the alcohol test usually only adds a few dollars to the cost of the test. It has been found, however, that urine alcohol testing is largely inadequate to monitor abstinence in random testing programs because of the short duration of alcohol's pres-

ence in the urine following drinking. The concentration of alcohol in urine also does not correlate well with blood alcohol levels. Therefore, a urine test for alcohol can only be used qualitatively in order to document that alcohol is present and not quantitatively to document how much alcohol is in the body at the time of sample collection. Another caveat regarding alcohol found in urine is that alcohol can form in urine by fermentation during storage or shipment, particularly in diabetics, who can have glucose in their urine; therefore the presence of alcohol in urine is not necessarily proof of drinking. This however, does not always invalidate the test. (See next page).

## TESTING FOR ALCOHOL METABOLITES THAT REMAIN IN THE BODY FOR SEVERAL DAYS

### Alcohol Metabolism and the New Tests for Alcohol Use

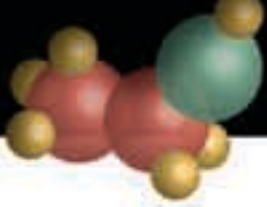
When people use alcohol, it quickly finds its way into the bloodstream through absorption from the stomach and the intestines. The rapid circulation of the blood carries the alcohol to all parts of the body, where it is absorbed into tissue, including the lungs. The presence of alcohol in the body can be detected by testing breath, blood, saliva or urine for alcohol itself. Alcohol is rapidly metabolized by the liver and therefore leaves the body quickly at a constant rate. There is nothing that one can do to speed up or slow down this rate. This means that a person who tests positive for alcohol in breath, saliva or blood has consumed alcohol within the few hours immediately preceding the alcohol test. Because alcohol is metabolized fairly rapidly, alcohol itself is not usually detectable for more than six to eight hours following drinking.

### EtG and EtS Testing

The alcohol people drink, ethyl alcohol also known as ethanol, is metabolized by the body through several pathways. One pathway metabolizes ethyl alcohol to ethyl glucuronide, EtG, and another to ethyl sulfate, EtS. Both of these metabolites remain in the body longer than alcohol itself. Depending upon the amount of alcohol consumed, EtG and/or EtS can be present in urine for up to almost a week after drinking stops. Testing urine for EtG or EtS has recently become popular with testing in health professional monitoring programs (Skipper, Weinmann, & Wurst, 2004) and in schools (Jones, 2007).

Ethyl Glucuronide and to a lesser degree EtS tests are now readily available through reference labs in the United States. EtG has been more widely used although more recent experience has suggested EtS may have significant advantages. The specific problems with EtG are that it can deteriorate in the urine over





time if bacteria are present (Helander & Dahl, 2005) and it has recently been reported that EtG also can be created in the urine if bacteria are present (Helander et al., 2007). Neither of these phenomena has been found to occur with EtS. Ideally, both tests should be performed at this time.

Hair testing for EtG and/or EtS has been perfected and will soon be commercially available. In one study, EtG concentrations in segments of hair were found to correlate well with the patient's detailed account of variations including an increase and decrease in alcohol consumption over preceding months (Appenzeller et al, 2007). Hair testing, however, is not as sensitive and will not detect moderate use of alcohol; therefore, a negative hair test does not prove abstinence. A positive hair test for EtG or EtS, on the other hand, proves significant use over the preceding weeks or months.

## CUTOFFS

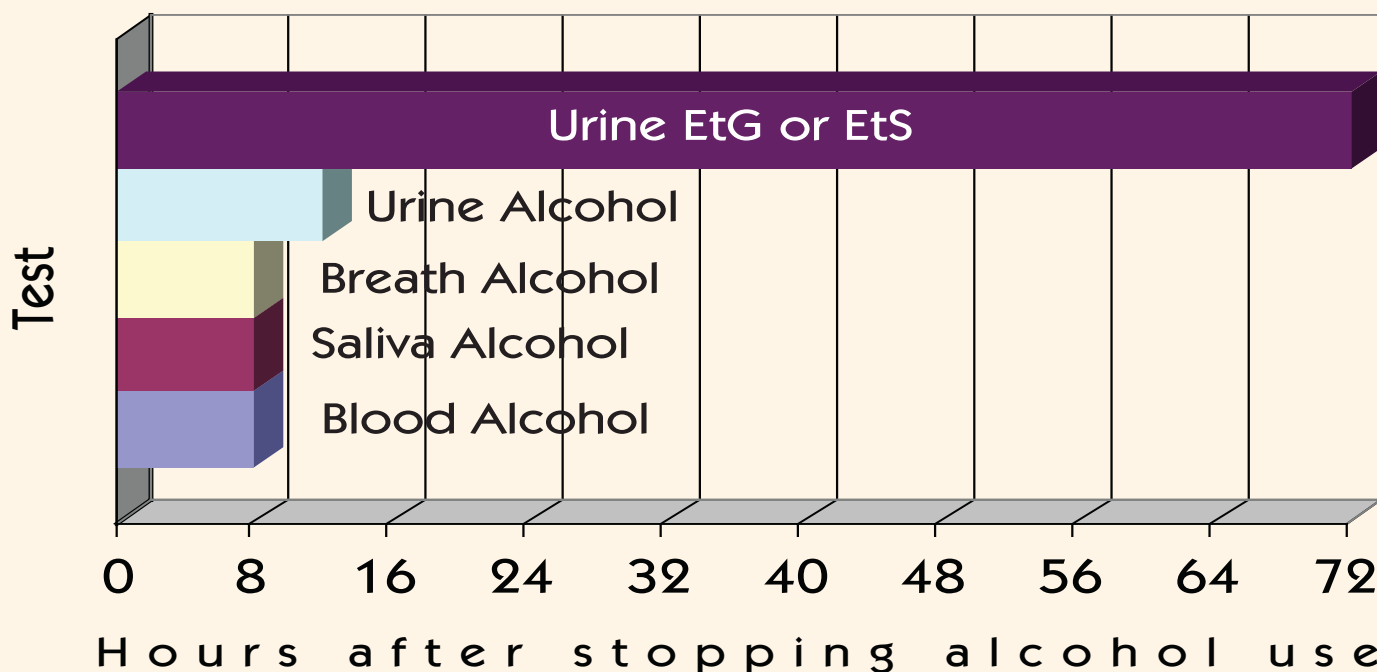
All drug tests have cutoff levels, below which the test result is reported as negative. Cut-off levels are chosen to protect against "false positives" which can occur at levels below the specificity of the method of testing and from incidental or innocent exposure to the tested substances. For alcohol testing "innocent exposure" can be the result of recent exposure to alcohol from products

such as mouthwash, foods, over-the-counter medicines or even from frequent exposure to the vapor of ethanol -- hand gels, bug spray, or other.

For alcohol, EtG and EtS cutoffs have become controversial because of the large number of widely used products that contain alcohol. Commonly used EtG cutoffs range between 100ng/ml and 1,000ng/ml and EtS between 25ng/ml and 100ng/ml. High cut-offs reduce the problem of "innocent exposure" but they do this at the cost of failing to identify relatively lower levels of alcohol consumption and/or alcohol consumption at relatively more distant times. Low cut-offs identify alcohol use at lower levels and for longer periods of time, but they also identify more "innocent exposure" to alcohol-containing products. Because EtG and EtS testing are relatively new, the cut-off levels are evolving with increasing experience and increasing research. In this paper we offer suggestions for handling these problems, but when questions arise about the interpretation of a particular result it is useful to review the results with a Medical Review Officers (MRO) and to discuss the results with the laboratory that did the test (See Below).

When monitoring someone for alcohol use with EtG or EtS testing, it is important that the individual being tested agree to avoid use of products associated with incidental alcohol

**Figure 1: Duration of Detection of Alcohol Use**



# ALCOHOL...and the offender

exposure. Low levels of EtG or EtS in urine are sometimes difficult to interpret if the person denies drinking. Therefore it is important to initially approach the individual in ways that promote candor and honesty. There is no cutoff level that reliably distinguishes between incidental exposure to alcohol and drinking beverage alcohol because ethyl alcohol is the same in both of these exposures. A low level EtG/EtS can be from drinking alcohol several days ago or from incidental exposure more recently.

There are no “quick tests” for on-site testing to identify EtG or EtS in urine at this time. The urine sample must be collected and then sent to a laboratory for analysis, a process that typically takes a several days or more. Ethyl Glucuronide or EtS testing can cost from \$15 to \$75 depending on the lab. A new screening test has recently been perfected that allows automated testing in the lab using an immunoassay (i.e. test using antibodies) that promises to be less expensive (Bottcher et al, 2008).

## DEALING WITH POSITIVE ETG/ETS OR URINE ALCOHOL RESULTS

Testing for alcohol and drugs should be done after the subject has been informed in advance that the testing will be performed, after the tested person has been warned not to use alcohol-containing products, and when there is a clear understanding of the consequences to be imposed as a result of a positive test. In probation and parole, this is done at the outset of supervision when the conditions are explained and signed. The primary purpose of alcohol and drug testing is not to catch the offender; it is to prevent the use of alcohol and other drugs. This deterrent effect is best achieved by calm, thoughtful discussion of the testing and a clear understanding of the purposes of the testing. In probation or parole-based alcohol and drug testing the agency needs to have a well-understood policy about alcohol and drug use by the offenders and a strategy to deal with any problems that emerge in the testing. Disputes about the interpretation of a positive alcohol or drug test can be resolved by an

Figure 2: Comparison of various alcohol markers

Test	Detection time*	Benefits	Drawbacks	Cost
Breathalyzer	Two to eight hours depending on drinking behavior	Ease of use, low cost, readily available	Alcohol vapor (from hand gel, etc) can cause false positive test	10 cents per test, device - \$50-1,000
Blood alcohol	Two to eight hours depending on drinking behavior	“Gold standard,” best evidence for court proceedings	Prescription or doctor’s order needed to obtain test	\$15-25
Saliva alcohol	Two to eight hours depending on drinking behavior	Easier to obtain sample compared to urine, ease of use of new quick alcohol tests	Quick tests on saliva not as accurate as blood alcohol	\$0.50 - 3
Urine alcohol	Three to Twelve hours	Urine often obtained to test for other drugs and alcohol tests can be added	Cannot be used for quantization	\$2-15
EtG/EtS	One to six days	Longer detection time, can confirm fermentation as the cause for positive urine alcohol	Very sensitive (false positives from “incidental exposure” to environmental alcohol, cost	\$15-75
SCRAM device	Continuous monitor thus detection time unlimited	Continuous monitoring, “longest detection time”	Cost, discomfort of wearing device	\$5/day



MRO. Local laboratories doing alcohol and drug tests can refer PPOs to local MROs.

In September of 2006, the Substance Abuse and Mental Health Services Administration issued an advisory regarding alcohol biomarkers (SAMHSA, 2006). This advisory warned against over-reliance on positive EtG or EtS results as the sole indicator of alcohol use, especially if drastic actions (e.g., termination from a job, incarceration, etc) are being considered as a response to a positive test. The advisory points out that no cutoff level can be relied on to always distinguish between incidental exposure to ethanol and alcohol beverage consumption. Nevertheless EtG and EtS continue to reliably document abstinence and they are useful for the detection of drinking alcohol. Confronted with a positive EtG or EtS test result many individuals admit to drinking. Additionally, a positive test, even if drinking is denied, indicates a higher likelihood of drinking. In response, surveillance can be increased. In difficult cases other procedures can be helpful in deciding if a positive EtG or EtS truly indicate drinking. These procedures can include: polygraphy, hair EtG or EtS testing, having the individual use the source of incidental exposure claimed to be causing the positive (e.g. hand gel) and retesting for EtG or EtS to see if it causes a positive test. If problems emerge with the alcohol and drug testing, contact the laboratory that performed the test and/or reach out to local experts in alcohol and drug abuse prevention and treatment for guidance and support. Alcohol and drug testing is usually done without significant problems in interpretation but when problems do occur, it is important to obtain help.

Positive test results for recent alcohol use, even if questionable (for example, a low positive EtG or EtS test, or a positive urine alcohol test) should be treated initially as proof of drinking alcohol since this is usually the case. The individual who tests positive should be approached in a calm, supportive manner with assurance that the test identified recent drinking. Most individuals who have been drinking or using drugs know that they run the risk of being detected if they are asked to submit a urine sample. In fact, they actually suspect and dread the positive result.

If alcohol use is strongly and insistently denied, particularly if the test report was a urine alcohol or low positive (i.e. less than 1,500 ng/ml) EtG or EtS test, then it can be acceptable to consider that the initial positive result could be "false positive" due to in-vitro fermentation or incidental alcohol exposure. Continued frequent urine testing for EtG and/or EtS, with warning that continued positive tests, no matter what the source of exposure to

any alcohol-containing product, will be interpreted as a positive test. The EtG/EtS tests will not usually remain borderline for long in the presence of continued drinking.

Communication of test results is best followed by informing the individual involved of the consequences of the positive alcohol or drug test—consequences that may include the necessity of professional screening or assessment, counseling services or treatment and ultimately legal consequences. Ultimately, it is hoped the alcohol and drug testing that serves as a deterrent to use and a catalyst for problem identification and intervention can also serve as a tool of recovery support in probation and parole supervision, drug court programs and in professional treatment settings.

Readers may find two additional resources helpful: *Guide to Responsible Family Drug Testing and Alcohol Testing* and *Smarter Student Drug Testing* (DuPont & Bucher, 2005; DuPont & Graves, 2005). Both are available on the website of the Institute for Behavior and Health, Inc. ([www.ibhinc.org](http://www.ibhinc.org)) and include information applicable to the probation and parole settings. These papers also discuss the role of the Medical Review Officer in the interpretation of test results.

## SUMMARY

The availability of EtG and EtS testing in urine samples provides a valuable new opportunity to prevent alcohol use, and when appropriate, to intervene in settings in which any use of alcohol is prohibited. Because this testing is new, it is important for frontline service specialists to understand how it works and how to interpret test results. ►►▲

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## ADDITIONAL RESOURCES

Information regarding EtG Testing  
[www.ethylglucuronide.com](http://www.ethylglucuronide.com)

State List of Certified Labs  
<http://workplace.samhsa.gov/ResourceCenter/lablist.htm>

American Society of Addiction Medicine (ASAM) List of Medical Review Officers  
[www.asam.org/search/search4.html](http://www.asam.org/search/search4.html)

American Association of Medical Review Officers Registry  
[www.aamro.com/registry\\_search.html](http://www.aamro.com/registry_search.html)

Substance Abuse Treatment Facility Locator  
[www.findtreatment.samhsa.gov](http://www.findtreatment.samhsa.gov)

*Dr. Gregory Skipper is the Director of the Alabama State Physician Health Program. Dr. Robert DuPont is the founding Director of the National Institute on Drug Abuse and President of the Institute for Behavior and Health Inc. Mr. William White is a Senior Research Consultant at Chestnut Health Systems.*



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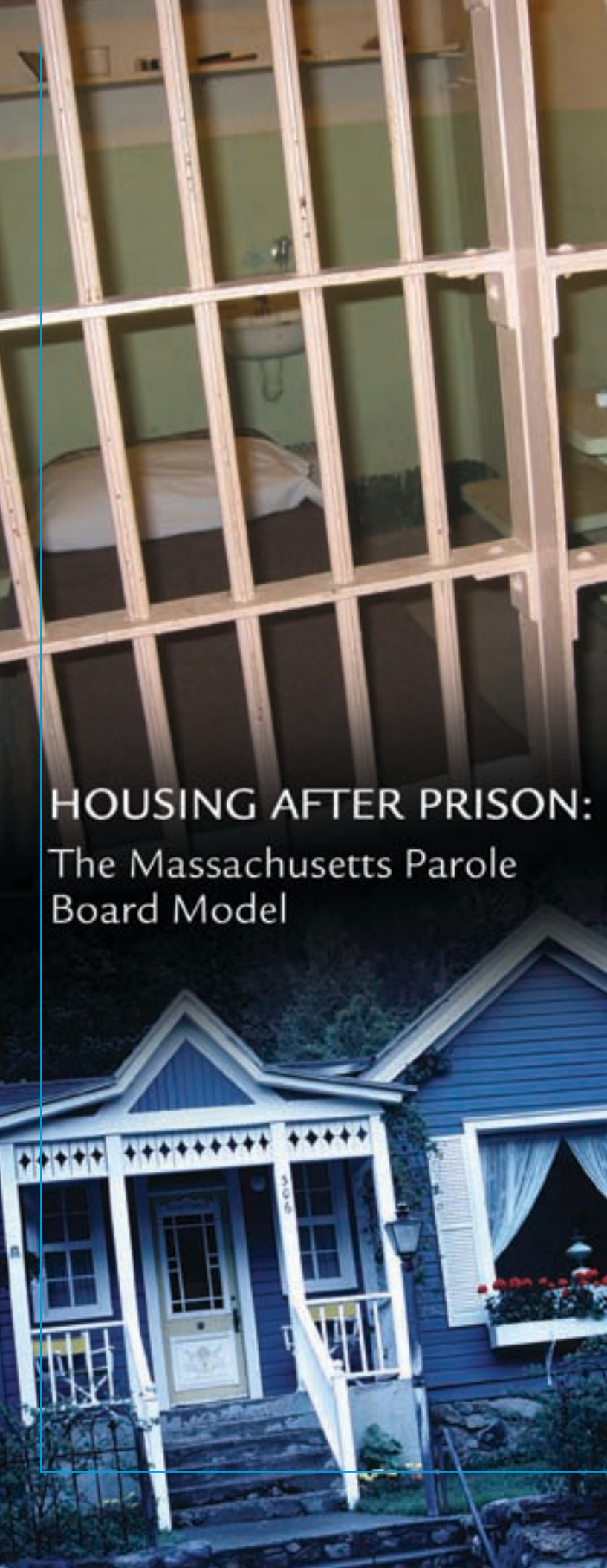
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## HOUSING AFTER PRISON: The Massachusetts Parole Board Model

In 2004, the Commonwealth of Massachusetts' Department of Correction received resources from the U.S. Department of Justice for prison construction, aimed at adding bed capacity to several state correctional institutions. With leadership from the state Executive Office of Public Safety, several key decisions were made to divert a significant portion of these funds to the Massachusetts Parole Board to develop and manage a reentry housing program where some of the new institutional bed capacity was transferred to the community. Simply put, the beds on the inside were brought to the outside.

With this reallocation of funds, Massachusetts joined a growing national trend of shifting focus and resources from incarceration to reentry programs that directly affect barriers to successful community reintegration. The hypothesis behind the Parole Board initiative is that chronic homelessness and related chaos is criminogenic and the correlation between shelter life and a return to incarceration can be mitigated by providing supportive transitional housing. Continued reliance on emergency shelters only prolongs the cycle from the street to the jail, back to the street and for many, back again to the jail. By interrupting this cycle with a transitional housing program, the Parole Board hypothesized that the program would produce three outcomes: enhanced public safety through reduced recidivism, access to long term sustainable housing and increased employment.

Prior to opening the transitional housing program, the Parole Board strategically prepared for implementation by designing the field operations context in which the program would operate. Within the existing network of eight regional Parole offices clustered in major urban areas around the Commonwealth, the Regional Reentry Centers (RRCs) were added as a distinct service component. The RRCs provide reentry services for ex-offenders leaving jails and prisons without any form of supervision (maxing out) as well as those being discharged and completing their sentence in the community on parole. Each RRC was assigned a Substance Abuse/Mental Health Counselor, through a partnership with the Department of Public Health and a Victim Service Coordinator. Two officers in each region were promoted to become Reentry Officers and assigned the responsibility of providing designated reentry services to ex-offenders living in the communities surrounding that office. The transitional housing program grew to become a strategic innovation integrated into the operations of the RRC.

This article is not a report of a "gold standard" evaluation with extensive data or random assignment to experimental and control groups (Bogue, et al 2004). It does serve as an opportunity to examine two full years of data from the initiative, seek to highlight best practices and identify areas for improvements.



This report adopts a descriptive, case study style, where the focus is on a specific group with unique circumstances and may be suitable for learning more about a complex situation. Underlying themes and patterns that emerge from the data have guided the evolution of program modules and may be of value to other public safety agencies.

## DESCRIPTION OF TRANSITIONAL HOUSING PROGRAM (THP)

In the initial cycle of service, the Parole Board assumed the role of a broker of resources and issued a request for proposals to vendors with experience housing the ex-offender population. Proposals were submitted, reviewed and contracts issued for a housing vendor in each of the eight designated regional offices. For the purposes of this program, transitional housing includes full wrap-around supportive services. The program is designed to offer a minimum of four months of housing.

### Housing Models

Within the program there are two models of housing, both of which are able to assist offenders meet their release conditions designated by voting Members of the Parole Board. Specifically, THP contracts with Sober Houses and Long Term Residential Programs (LTRP's). While some offenders return to the community and rejoin their families, friends or live on their own, some are required as a part of their parole conditions set by Parole Board Members to live for a period of time in specialized housing.

The LTRP is based on an "all under one roof" model of services. Residents live in the house, receive group and individual counseling there, attend other sobriety maintenance programming and primarily focus on regaining wellness that will support their ultimate reentry into community life. Typically, residents do not work outside the immediate environment of the house and the contact with their host community is limited. A major goal of the transitional period is to establish and pursue either further long term transitional housing opportunities or permanent housing. The LTRP is a highly structured environment that engages the individual in a wrap around care system geared towards serving high risk offenders with multiple prior convictions or incarcerations. They are staffed to assist individuals experiencing disabling mental health or substance abuse conditions.

The Sober House model is typically focused on assisting residents find meaningful employment and stabilize this specific aspect of their reentry. The Sober House maintains strict rules regarding curfews, sobriety, regular and unscheduled drug test-

ing while encouraging residents to live in a community focused on both recovery and working outside the house. Service referrals may be made by house managers and the parent agency but are not offered in the house, but rather in the community as a way of assisting individuals to create provider relationships that will be sustained beyond the initial transitional period. A typical Sober House is designed to house lower-risk offenders, who are prepared to re-enter the workforce and who are relatively stable in terms of their health but may do better in a regulated, sober environment with fewer clinical needs. Like the LTRP, discharge planning includes housing searches and tenancy preservation/tenancy management skills as key strategies to preparing individuals to return to an independent life.

### The Transitional Housing Process

Leaving a jail or prison on parole requires an approved home plan whereby the field parole officer responsible for supervision completes an investigation and agrees that a specific plan will support successful reintegration. Thus, entrance into THP begins in the incarcerating institution. After an offender is granted parole by the Parole Board and is ready to be released into the community, the responsibility is placed on that offender to secure acceptance into a community program. The offender is assisted by staff from both the institution and the Parole Board in identifying programs, applying and getting the program acceptance letter to the field parole officer who has the authority to approve the plan. THP options are known to staff and they can be a resource for the inmate looking for a place in a program. In-reach presentations about parole reentry services and THP bring the message directly from the Parole Board staff who oversees the program to the inmate during their incarceration. Beyond providing information, the secondary goal of in-reach is to prevent homelessness among discharging offenders by identifying potentially homeless offenders and helping to arrange their housing options prior to discharge.

## PARTICIPANT STATUS AT TIME OF RELEASE

Intake information pertaining to demographics and socioeconomic factors on the Transitional Housing Program's first 712 clients (July 2005 through July 2007) is presented in Figure 1. The majority of all participants are male (90 percent), white (55 percent) and single or never married (76 percent). Participants ranged in age from 18 to 70, with the average age being 34.3 years. Thirty-six percent of clients were between the ages of 26-35, 33 percent of clients were between the ages of 36-45 and 20 percent of clients were between the ages of 18-25. These demographics are representative of Massachusetts parolees overall



**FIGURE 1.**  
Demographics of the 712 clients placed into THP  
between July 2005 and July 2007

**FIGURE 1.a: GENDER, AGE AND RACE**

Gender	#	Percent
Female	73	(10)
Age		
18-25	140	(20)
26-35	254	(36)
36-45	235	(33)
46-55	71	(10)
56+	12	(1)
<b>Average</b>		<b>34.3</b>
Race		
White	390	(55)
African American	124	(17)
Hispanic	173	(24)
Other	25	(4)

**FIGURE 1.b: PROGRAM FACTORS**

Gender	#	Percent
Yes	660	(93)
No	52	(7)
Institution Type		
State	199	(28)
County	510	(72)
Interstate	3	(<1)
Substance Abuse Issues Reported		
Yes	662	(93)
No	50	(7)

and, as highlighted in Figure 1.B, typically report a history of substance abuse.

#### Data

The data presented here represents two years of program operation: July 2005 through July 2007. Outcome measures for the program include recidivism, employment and housing status. The data presented is for the 615 clients who have discharged from the program in the first two years of operation.

**Recidivism:** For the purposes of this report, recidivism is presented in terms of both re-arrest and re-incarceration. Further, re-adjusted rates are presented that include technical violations of parole conditions (returned to custody specifically due to a violation of a parole condition). Criminal record reports are run six months after a client discharges from THP and again at 12, 24 and 36 months post-discharge from the program.

- Clients with an arrest for a new crime: 127 (21 percent)
- Clients with an incarceration for a new crime: 37 (6 percent)
- Clients returned to custody on a technical violation: 51
  - » Adjusted re-arrest rate (to include technical violations): 178 (29 percent)
  - » Adjusted re-incarceration rate (to include technical violations): 88 (14 percent)
- Clients' timeframe of re-arrest:
  - » 6 months: 95 (75 percent)
  - » 1 year: 31 (24 percent)
  - » 2 years: 1 (1 percent)
  - » 3 years: N/A
- Analysis of client governing (original) offense before and after THP:

#### Recidivism Trends

##### *Institution*

THP clients coming out of a county correctional institution are more likely to recidivate than those coming from a state correctional institution—25 percent of county offenders were re-arrested versus 13 percent of state offenders

##### *Age*

Clients between the ages of 18 and 25 are more likely to recidivate than any other age category, followed closely by offenders in the 36 to 45 age cohort.

#### Recidivism by Age:

- 18-25: 21 percent of clients re-arrested
- 26-35: 15 percent of clients re-arrested
- 36-45: 20 percent of clients re-arrested
- 46-55: 15 percent of clients re-arrested
- 56 (and up): 8 percent of clients re-arrested

#### Type of Housing Program (Sober House vs. LTRP)

Clients who discharged from a Sober House displayed higher re-arrest and re-incarceration rates than those clients discharging from an LTRP.

#### Number of Discharged Clients by Housing Program

- Total discharges: 615
- Total Sober House discharges: 356 (58 percent)
- Total LTRP discharges: 259 (42 percent)

#### Recidivism by Type of Housing Program

- Sober House re-arrest rate: 116 (33 percent)
- Sober House re-incarceration rate: 62 (17 percent)
- LTRP re-arrest rate: 62 (24 percent)
- LTRP re-incarceration rate: 26 (10 percent)

#### Recidivism Observations

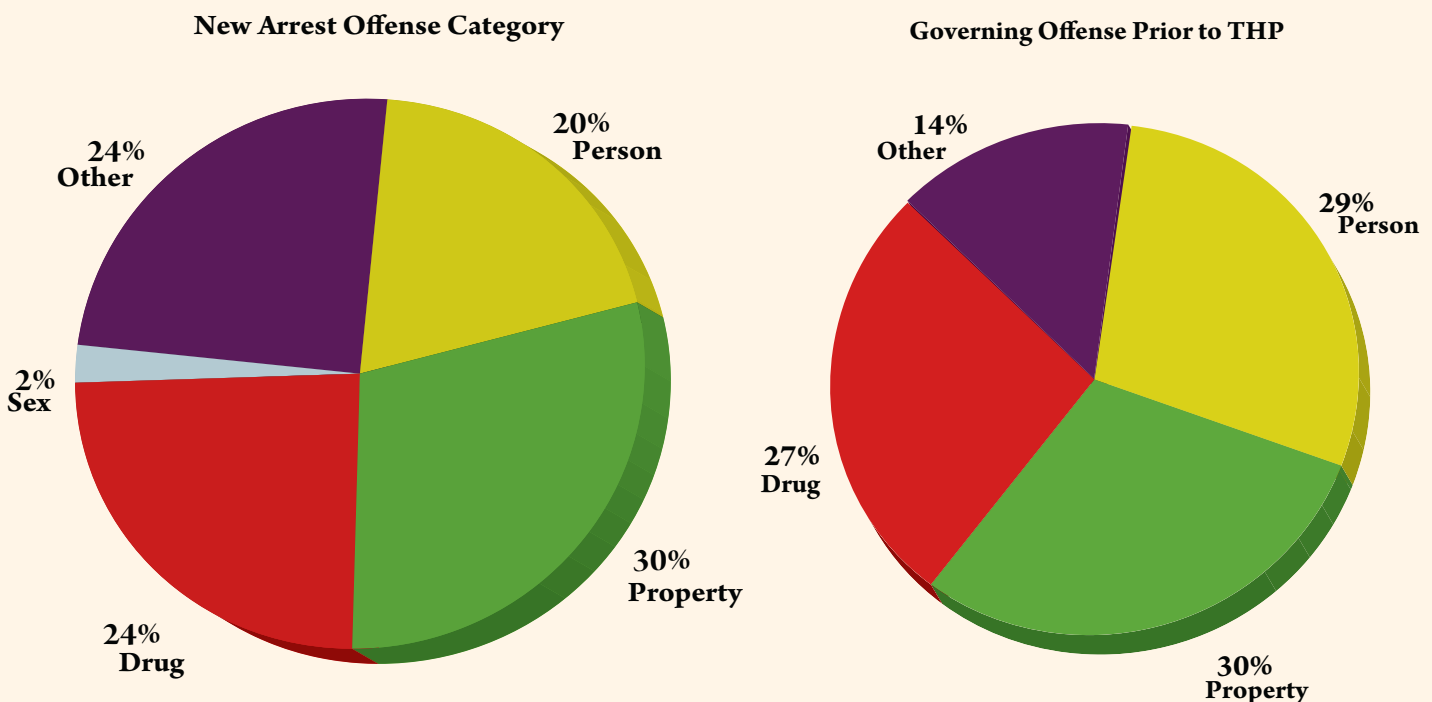
After two years of operation, THP reports recidivism figures that are well below national averages. The current nation-

al recidivism figures from the Bureau of Justice Statistics (BJS) show that 67.5 percent of all offenders released from prison will be re-arrested in three years, and that 51.8 percent will be re-incarcerated (both of these figures include parole technical violations). (Langan and Levin 2002) Although the Massachusetts Parole Board does not yet have 3 year recidivism figures on THP clients, the current figures are encouraging and demonstrate that transitional housing positively impacts recidivism rates.

The vast majority (75 percent) of all THP clients who were re-arrested did so within the first six months of discharge from the program. This trend is reflected in the literature which indicates that more offenders are arrested and returned to prison within the first six months to a year from release than any other period of time within the first three years after release. (Langan and Levine 2002)

Another facet of recidivism is whether or not THP has had an affect on reducing certain *types* of crimes, specifically drug and violent crimes. A decrease in drug crime represents considerable fiscal and social capital savings when a release does not require further drug treatment, often known to be lengthy and expensive. The *average* four month THP cycle costs \$7,300 and is thus substantially less expensive than incarceration. As previously demonstrated, a majority of offenders report a history of substance abuse thereby indicating an operating and program priority. Treatment programs delivered in the community provide the opportunity to address real-world issues of reentry as they

FIGURE 2.



are based in the community where sobriety management skills can be both learned and tested. Decreases in violent crime also show similar savings since violent crime usually results in lengthy terms of incarceration. However, reducing the number of new victims is the true savings and addresses a key public safety priority of the Massachusetts Parole Board. Although THP is still a relatively new program, among THP clients who have been re-arrested there is a nine percent decrease in person-related violent crime and a three percent decrease in drug crimes committed when comparing these new offenses to the client's previous offense before THP (see Figure 2 above).

In this early stage of analysis, three static client factors have been identified that appear to have a positive correlation with recidivism: age, releasing institution and program type. It appears that THP clients who are younger, released from county facilities and discharged from a Sober House are recidivating at higher rates than any other type of client. Other factors such as race, educational level and marital status were tested yet did not provide any significant statistical correlations in regards to recidivism within THP.

## Employment

Each program vendor works with clients individually to provide (either in-house or by referral) job training skills, vocational training and internships. The goal is to ensure that clients have steady, gainful employment upon discharge from THP.

Full and part time employment status is captured for THP clients at both admission and discharge from the program. A goal of THP is to encourage the overall percentage of clients employed:

- 128 (18 percent) of clients were employed at intake into the THP program
- 302 (49 percent) of clients were employed at discharge from THP

While many offenders are not employed when discharging from custody, the different housing models approach employment with differing strategies.

### *Comparison of Employment Rates by Program Type (Sober House vs LTRP)*

Overall, clients discharging from sober housing were *significantly* (33 percent) more likely to be employed than clients discharging from an LTRP.

- 77 (30 percent) of LTRP clients were employed at discharge
- 225 (63 percent) of Sober House clients were employed at discharge

Recent research on the impact of offender employment

has on recidivism shows mixed results. A comprehensive research review published by the Campbell Collaboration states "employment-focused interventions for former prisoners have not been adequately evaluated for their effectiveness using random assignment designs and that more rigorous evaluations are needed to provide direction to policymakers as to the most effective combination of employment-related services for specific types of ex-offenders" (Visher, et al 2006). While this study does not begin to refute these research findings, we believe that the THP experience suggests that employment in combination with housing has a positive correlation with reduced recidivism (see Lessons Learned section of this report).

## Housing

Another goal of THP is to improve the transition of offenders to sustainable housing after they have completed their four-month stay at either their sober house or LTRP. Sustainable housing is considered to be an extended program commitment with their current housing program vendor, another halfway or recovery home and either an apartment, condominium or house (owned or rented by the offender or the offender's family or friends). Employment is highly dependent upon a fixed living arrangement and without housing, substance abuse and mental health treatment is compromised. The Parole Board believes that supportive, appropriate and safe housing is the foundation of the reintegration process.

Sustainable housing rates are also captured at discharge from the program. For the two years of reported data, 403 (66 percent) clients found appropriate housing upon departure from their program. Below is a breakdown by type of housing:

- Apartment: 118 (29 percent)
- House: 66 (16 percent)
- Extended Program Commitment: 160 (40 percent)
- Halfway or Recovery House 55 (14 percent)
- Unknown: 4 (1 percent)

### *Comparison of Sustainable Housing by Program Type (Sober versus LTRP)*

Overall, clients discharging from an LTRP were more likely (17 percent) to report having obtained sustainable housing than clients discharging from a sober house.

- 195 (75 percent) of LTRP clients reported having obtained sustainable housing at discharge
- 208 (58 percent) of Sober House clients reported having obtained sustainable housing at discharge

## Housing Observation

Recidivism queries were run to see what type of effect (if any) housing has on recidivism. The results showed that clients who discharged from THP with reported sustainable housing



plans *were more likely* to recidivate than those clients who left THP reporting no sustainable housing plans. Although these results may seem surprising, the breakdown of housing type presented above shows that almost half of the THP clients reported returning to an apartment or house. We know from internal data collection protocols that most of these clients are returning to an apartment or house of a family member, significant other or friend. While THP housing programs offered an initially stabilizing environment immediately after discharge, the point of discharge from THP can also be vulnerable.

In recent report, Bradley, et al (2001) state that “Probation and parole conditions can require an ex-prisoner to avoid specific neighborhoods and individuals, severely limiting options for habitation”. They continue: “Although many initially stay with family or relatives, these situations are often tentative, and can be volatile”. (Bradley, et al 2001)

Although 66 percent of THP clients reported sustainable housing upon discharge from parole, the true measure of housing success would be in relation to the offender(s) keeping this stable housing for more than a year.

Lessons Learned

Stable housing is the foundation of reentry and the primary basis upon which offenders begin to build new lives. Housing programs that target services toward this group are key public safety partners.

- **Cross-sector collaborations provide an effective staging arena for creative solution building, inspiration and best chance for impacting public safety.** Public safety agencies cannot assume that reentry programming can best be carried out within a law-enforcement *only* environment. Rather, by engaging partners from the private and non-profit sectors, recovery and therapeutic groups as well advisors from the stakeholder population and community, buy-in, commitment, and the broadest range of expertise are leveraged towards common goals.

- **There is no one size fits all housing model that works for all ex-offenders.** Some ex-offenders, particularly those who have completed certification, training or other job readiness programs, will do best living in a housing model that supports their quick return to the workforce. For example, those who complete training program for HVAC (heating, ventilating and air conditioning) can do much more than seek out a meager existence -- with assistance, they can find meaningful, career-oriented employment. For offenders who have struggled with substance abuse for many years, a therapeutic environment with a recovery and wellness focus prepares these individuals for a life long journey of fighting for sobriety.
- **Housing and employment are equally important ingredients for successful reentry.** Housing and employment sustain each other -- without an adequate job, one cannot sustain housing and without housing, life is far too chaotic to be gainfully employed. The following table (Figure 4, below) demonstrates the relationship of these factors (having housing and employment at discharge from program) in recidivism outcomes for THP clients:
- **Sober House versus LTRP.** Both housing models allow for a four months stay under THP but feature differing outcomes: Sober houses focus on assisting ex-offenders reenter the workforce and the numbers demonstrate that this goal is successfully met. LTRP’s have better recidivism rates and more people with longer term housing plans. It is a matter of matching an individual with their most urgent need.
- **Longer term housing solutions works better for ex-offenders.** The longer THP clients stayed in the supportive housing environment, the better they did in terms of justice and employment outcome measures. While THP was designed to offer four months of housing and programming, the data suggests that stabilizing housing over longer periods results in better outcomes.

Housing	Employment	Outcomes
		Re-Arrest/ Re-Incarceration Rates
Yes	Yes	18 percent / 4 percent
No	No	35 percent / 14 percent
No	Yes	18 percent / 10 percent
Yes	No	16 percent / 2 percent

## CONCLUSION

Much of the information presented here does not represent new conclusions about what works best for ex-offenders returning to the community in parole agencies around the nation. Parole officers have been providing this exact kind of support for offenders as part of their work in offender reintegration for as long as offenders have been discharging. However, what is new is the growing trend in municipalities and states allocating such significant resources towards these goals and by integrating them as part of a justice agency's typical work process, budget and benchmarks. It is fairly obvious that an ex-offender will need to secure housing and employment after discharging. What this article aims to provide is a strategic approach to leveraging resources towards the best possible outcome for the individual and the community. >>>▲

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*Client RJ states that "not falling back into old habits and habitual behaviors" are his main challenges to staying crime-free.*

*Client ET stresses that "getting a job because of her CORI is a challenge- she is afraid all she can rely on is doing better on her interview than the next person".*

*Client MC reports that the major strengths he acquired from his housing program were "to be better at interviews and act more professional on the job".*

*Client RM emphasizes that "the computer knowledge he has gained from being in the job force has helped him to structure his life".*

*Client RL states that as he leaves THP he mainly is focused on "the responsibility of getting an apartment and paying bills".*

*Client RB reports that "although fitting back into society is his biggest concern right now, he also is worried that until he finds employment he will not be able to afford any type of housing on his own".*

*Client RL (LTRP discharge) insisted that "he needs to go to a sober house now, 4 months in an LTRP was not enough time to gain employment and money".*

*Client JE felt as though "5-6 months would help my adjustment to society better".*

*The authors wish to thank Parole Board Chairman Maureen E. Walsh and Parole Board Executive Director Donald Giancioppo for their leadership and support of the programs discussed in this article. According to client TA, he considers "staying clean in order to stay out of prison", his biggest challenge as he now returns to the community.*

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# Do We Care What Offenders Think?



In the private sector, customer loyalty and product differentiation are key factors for a company's success and even survival in a competitive market. It is not surprising that a lot of time and resources are spent on getting feedback from customers in the form of surveys regarding their satisfaction with the company's goods and services. It can be eight times more expensive to get a new customer than to retain an existing one (Nemati & Barko, 2003). Therefore, the information used from these surveys is often the source for many strategies an organization will develop to improve its position and increase its bottom line.

In the field of community corrections the goal is certainly not to foster repeat business, but to get the probationer or parolee through the system successfully. For our industry, the "bottom line" is public safety. In an evidence-based environment the primary strategy to accomplish this is through changing

the behavior of the offender in order to reduce recidivism. Practitioners who work with offenders are often well aware that they play a key role in helping their clients go through the various stages of change. They are the ones who often aid in motivating and supporting the client's efforts to achieve personal goals. It then becomes critical that practitioners are seen as being positive, consistent and fair in their dealings with clients in order to maximize the opportunities for achieving positive results.

An organization that has embarked on an evidence-based initiative needs to find out if its hiring practices, training and adherence to mission and to values translate to the perception of the customer. Surveys are an efficient way to get this feedback. Results from surveys can present an organization a variety of opportunities to make improvements to processes and help to determine if things are on the right track.

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By Robert **Cherkos**, Jennifer **Ferguson** and Alison **Cook**



The Maricopa County Adult Probation Department (MCAPD) has been engaged in an initiative to make evidence-based practices (EBP) part of its organizational culture since 2004, adopting the model developed by the National Institute of Corrections (Bogue, et al., 2004). EBP is a strategy to achieve what many local and state governments have been moving towards, results and performance-driven management. This has certainly been a trend in community corrections in recent years (Burrell, 2005). In Maricopa County, achieving positive results has been the mandate of county government for the past seven years with an initiative called Managing for Results (MFR). This is a comprehensive and integrated management system that focuses on achieving positive results for the customer. It is expected that all county agencies will conduct customer surveys to measure success in customer satisfaction.

For the Maricopa County Adult Probation Department this has meant conducting a series of surveys for its customers that are identified in its mission.

*The Mission of the Maricopa County Adult Probation Department is to provide assistance and adult pretrial and probation services to **neighborhoods, courts, offenders and victims** so that they experience enhanced safety and well being.*

Since the implementation of MFR, surveys have been conducted of criminal and community partners that have ongoing relationships with the department, of criminal court judges and commissioners, and of victims.

A decade had gone by since the Maricopa County Adult Probation Department conducted a customer satisfaction survey for probationers. In 1997, the purpose of the survey was to obtain information from probationers about their experiences while on probation. While the information from this survey was valuable, it did not result in any appreciable changes in the way the department conducted business. There was no attempt to report the findings throughout the department or with its stakeholders. Had it been conducted in the context of meeting department goals, evidence-based practices, or procedural justice, the survey may have had more utility.

Ten years later, within a new organizational culture, the probationer survey was revisited (Appendix A). This time, the reasons for conducting the survey were clearer than in 1997. One purpose was to provide an objective measure of probationer satisfaction with the services provided by the MCAPD. The second purpose was to identify if efforts to incorporate elements of EBP into a probation officer's supervision strategies were recognized by probationers.

Additionally, how to use the results is clearer. First of all, where the results are good, we want to share the news as positive reinforcement to our employees who are doing a good job and

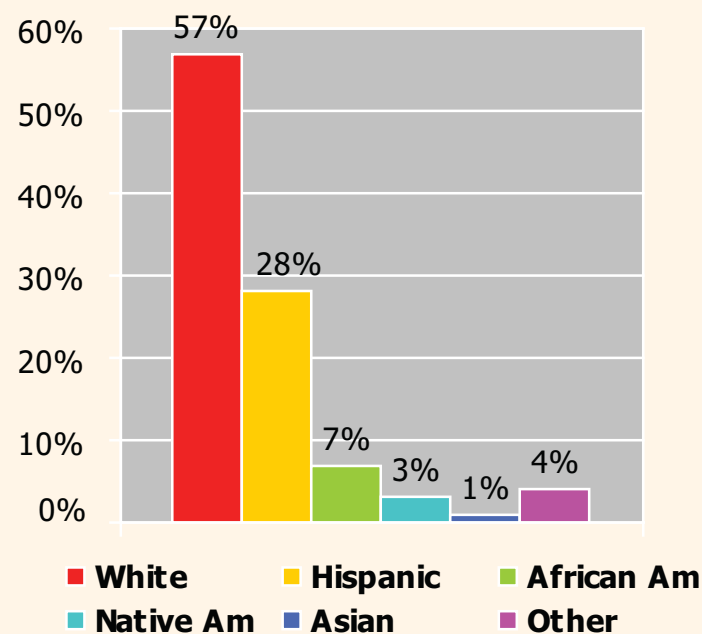
to our stakeholders to promote confidence in our ability to carry out our mission. Secondly, we want to analyze the results and use probationer feedback to improve our performance. We can begin to identify where probationers are dissatisfied with our service and the underlying issues so we can effectively address them. Subsequent surveys then will tell us if we have been successful in making improvements.

## Survey Methodology and Results

Located in Arizona, the Maricopa County Adult Probation Department provides probation services throughout Maricopa County. Maricopa County is the 14<sup>th</sup> largest county in the United States and the 4<sup>th</sup> most populous. It covers 9,222 square miles and includes 24 different cities and municipalities. The department has 14 different office locations. On average, the active daily population is 31,380 probationers, 96 percent of which are on probation for a felony offense.

To capture the opinions from a cross-section of probationers, representatives from the Planning and Research Unit, along

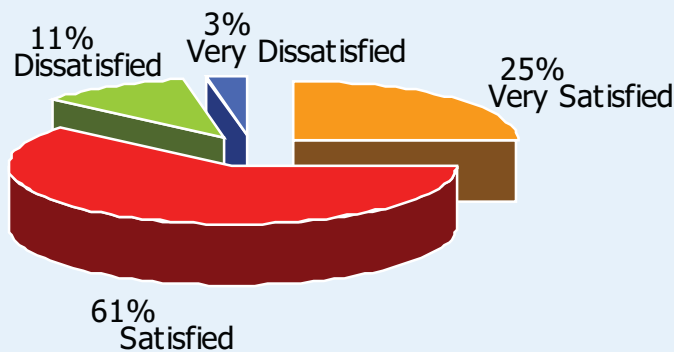
Figure 1: Ethnicity of Survey Respondents



with support staff from the area offices, scheduled one-day site visits to the eight largest offices. Probationers who reported for an office visit were asked to participate. They were assured that their responses were anonymous and confidential with a signed letter from the Chief Probation Officer. Surveys were available in both English and Spanish and staff remained available to answer any questions.

Overall, 569 probationers were approached to participate in the survey. Surveys were completed by 468 individuals for a response rate of 82 percent. The demographics of survey

Figure 2: Probationer's Overall Rating of Experience with MCAPD



respondents were similar to the demographics for the overall population. The median age of the respondents was 38. Seventy-four percent of the probationers who responded were male. See Figure 1 for the ethnic breakdown of respondents.

The primary purpose of the survey was to establish a baseline satisfaction rate for probationers of the services provided by the department. While there was some fear and skepticism among staff about seeking the opinions of probationers, the results revealed that 86 percent of the respondents were either very satisfied or satisfied with their experience with the adult probation department.

The survey was also designed to help us learn more about probation officer interactions with the probationer, from the probationer's perspective. Again, the results were very positive. Nine out of ten respondents agreed that the probation officer spends a reasonable amount of time with them, treats them respectfully, lets them know how they are doing, listens to them and works together with them to help them complete probation. The biggest area of dissatisfaction was the waiting time in the lobby.

identify the three subjects most frequently discussed with them in office visits. They selected subjects from a list that included the categories from the department's standardized risk and needs assessment tool, as well as conditions of probation most commonly addressed. The top responses included employment, family, payments and alcohol/drugs.

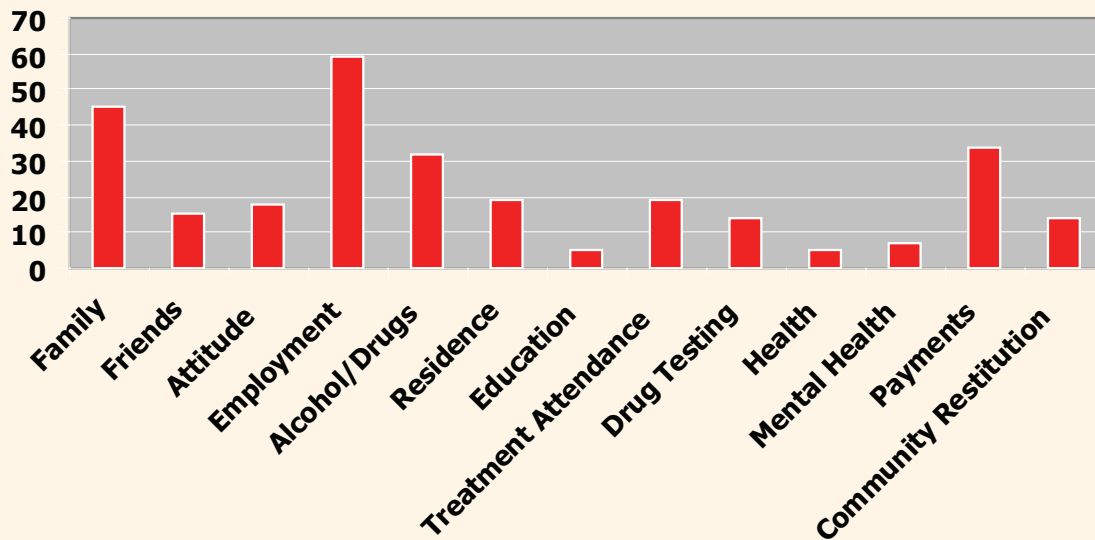
### What Do the Results Mean?

The results showed that probationers were satisfied with the services provided by the MCAPD. Probationers also reported that they were treated with respect and were involved in developing their supervision strategies. They were also talking with their supervising officer about more than just routine conditions of probation. The question remains, why does this matter? If our mission is simply to enhance safety, why should the satisfaction of the offenders on probation be considered? Ultimately, probationer satisfaction is very important because changing behavior is about changing attitudes. Probationers who are satisfied with their treatment and services are more likely to comply with treatment requests and the directives of their probation

Table 1: Probationer's Percent Agreement

My Probation Officer	Percent Agree or Strongly Agree
Spends a reasonable amount of time with me	94
Treats me respectfully	92
Lets me know how I am doing	91
Listens to me	90
Work together to create goals and develop strategies to assist me in completing probation successfully	89

Figure 3: Subjects Discussed During Typical Office Visits



officers. Positive attitudes toward the department also may indicate greater respect for the system and laws, which we want probationers to continue to obey.

Our survey uncovered positive results. Of the probationers who responded, 86 percent reported being satisfied or very satisfied. This result may have initially come as a surprise. One might expect probationers to have negative attitudes about the department given their court-mandated participation in the probation process. However, procedural justice research suggests that the process is as important to molding perceptions of fairness and justice as the outcome (Lind & Tyler, 1988). Therefore, the probationer satisfaction survey not only gives us measures of departmental progress toward incorporating EBP into supervision strategies, but also describes probationers' attitudes toward the department, its services and treatment.

Procedural justice is the perception of fairness regarding the process by which decisions are made (Leventhal, 1980; Thibaut & Walker, 1975; Tyler, 1989). Research indicates that procedural justice is associated with a number of positive outcomes including increased perceived fairness judgments of personal experiences (Thibaut & Walker, 1975), greater perceived security about social standing (Clay-Warner, 2001; Tyler, 1989; Tyler & Lind, 1990), and greater reported legitimacy of legal authorities and increased willingness to obey laws (Lind, Kulik, Ambrose, & de Vera Park, 1993; Tyler & Lind, 2000; van den Bos, 2001; van den Bos, Wilke, & Lind, 1998). Three factors predict greater perceptions of procedural justice independent of outcome: trustworthiness, neutrality and status recognition (Lind & Tyler, 1988). Trust refers to the belief that authorities' intentions are benevolent and that they want to treat people in a fair and reasonable way. Neutrality suggests the importance

of unbiased authorities making decisions in a neutral arena based upon accurate and reliable information. Status recognition is acknowledged through treatment by authorities; if authorities show respect for individuals' rights, then individuals will expect these rights to be preserved in the future.

Taking a closer look at the survey results shows that the Maricopa County Adult Probation Department

is addressing these three procedural justice factors through the interactions between the probation officers and the probationers. Ultimately probationers felt that their POs cared and listened to them (90 percent) and treated them respectfully (92 percent). Only 13 percent of the survey respondents provided negative comments. Many of the open-ended comments were positive and conveyed that the probationers largely respected their probation officers and felt that they genuinely care about their performance while under supervision. For example, one probationer stated *"My probation officer has been very helpful and has tried to do a lot to get me back on track to a healthier lifestyle."* Probationer comments also reflected the importance of having a case plan that identifies goals and ways for them to be successful on probation. One probationer stated the probation officer could *"Help me to set and attain goals."* Another stated the probation officer could *"...give milestones to reach to be successful in terminating probation..."* Probationers' ratings of the probation officers and their experiences within the department convey the consistency between the procedural justice research and perceptions of justice and satisfaction with the system. They also help illustrate the importance of key elements of evidence-based practice such as developing case plans together and providing positive reinforcement.

The importance of procedural justice can also be found when looking at areas in need of improvement identified by the survey. Probationers were least likely to agree that their waiting time in the lobby was reasonable (68 percent agreed) or that the greeting by the receptionist was pleasant/professional (75 percent agreed). In addition, when asked what their probation officer could do to be more helpful, suggestions focused on listening more and using threats less. These comments reinforce



the notion that how a probationer is treated matters.

The amount of effort expended in conducting a survey of our probationers was minimal compared to the benefit it provided to the department. Through the survey we were able to identify whether our efforts to incorporate EBP into our supervision strategies were reaching the primary recipients, the probationers. It also provided us with information for one of our key performance measures. These results should bolster stakeholder and community confidence in our ability to carry out our mission for enhanced safety and well-being.

While the results in our case were positive, regardless of the results, surveys are a powerful tool that can be used by any organization. The steps an organization can take to gather this information are presented in Appendix B. The information obtained is well worth the effort. Positive feedback provides validation of the significant efforts made by staff to do their job.

Negative feedback represents opportunities to refocus what we are doing and is necessary as community corrections agencies continue to expand our knowledge of what is considered evidence-based practice. ►►▲

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## Conducting Your Own Client Satisfaction Survey

The following steps will help any organization develop and implement a client satisfaction survey.

- **Identify the purpose of the survey.** Before conducting a survey you need to clearly identify what you want to know or learn. The survey should align in some way with the department's vision, mission, values and goals.
- **Identify the target audience.** Clearly identify who the target audience for the survey is. Knowing who is going to be completing the survey will help design a survey that is likely to be completed.
- **Select the method of survey administration.** There are multiple ways to administer a survey, including mail, phone and in-person. Consideration should be given to the method that will maximize the response rate, while ensuring responses will be anonymous and confidential. There was an 82 percent response rate for surveys handed out in-person for a probationer population. Previous surveys of victims, conducted by mail, have yielded a 30 percent response rate.
- **Develop a user-friendly survey.** The survey should be short, simple and focused. It should be written in language that survey respondents will understand—no slang or jargon. This includes developing the survey in multiple languages if necessary. Consideration should be given to both closed-ended and open-ended questions, based on what you want to learn.
- **Inform staff of the purpose of the survey.** Ensure staff are aware that the survey is being conducted and of the purpose of the survey.
- **Select staff to assist with survey administration.** If conducting an in-person survey, identify staff not directly involved in the daily supervision of clients to assist. This will help the survey appear non-threatening to those asked to participate.
- **Enter the data.** Once the surveys have been completed, enter the data into a program that will allow survey results to be summarized. This does not require complicated software. Survey results can be entered into Excel or Access. Be sure to pay close attention to the quality of the data entry to minimize errors.
- **Analyze the results.** Dedicated research staff are not necessary to analyze results from a survey. Significant information can be learned by looking at the number or percentage of people that responded to an item a certain way.
- **Share the results.** The most important element of the survey is sharing what is learned, with all interested parties, regardless of the results. Do not let the information sit on a shelf. Identify multiple ways of presenting the information, based upon the target audience.

# Appendix A: MARICOPA COUNTY ADULT PROBATION DEPARTMENT CLIENT SERVICES SURVEY

Please take a few minutes to complete this survey. Your responses will help the Adult Probation Department evaluate and improve its services. All responses are anonymous and confidential. We are not asking for your name. When you are finished, please drop the survey in the box at the reception counter. Thank you for your help.

1. What type of probation are you on? ☐ Standard ☐ Intensive (IPS)
2. How long have you been on probation?  
☐ Less than 6 months ☐ 6-12 months ☐ 1-2 years ☐ 2-3 years ☐ More than 3 years
3. Since being placed on probation, how many probation officers have supervised you? (If IPS, how many different IPS teams?)  
1   2   3   4   5 or More  
☐ ☐ ☐ ☐ ☐

Were any of these changes difficult for you? ☐ Yes ☐ No

4. When visiting my probation officer, the wait time in the lobby is usually reasonable.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree
5. The receptionist greets me in a pleasant and professional manner.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree
6. My probation officer treats me respectfully when I meet with him or her.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree
7. My probation officer spends a reasonable amount of time with me during these visits.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree
8. My probation officer listens to me.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree
9. My probation officer and I work together to help me complete probation successfully.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree
10. My probation officer lets me know how I am doing on probation.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree
11. Did your probation officer refer you to other agencies or programs? ☐ Yes ☐ No  
If yes, these agencies/programs have been helpful.  
☐ Strongly agree ☐ Agree ☐ Disagree ☐ Strongly disagree

12. Please check **three** subjects that your probation officer usually discusses with you during a typical visit.

<input type="checkbox"/> Family	<input type="checkbox"/> Treatment Attendance
<input type="checkbox"/> Friends	<input type="checkbox"/> Drug Testing
<input type="checkbox"/> Attitude	<input type="checkbox"/> Health
<input type="checkbox"/> Employment	<input type="checkbox"/> Mental Health
<input type="checkbox"/> Alcohol / Drug Use	<input type="checkbox"/> Payments
<input type="checkbox"/> Residence	<input type="checkbox"/> Community Restitution Hours
<input type="checkbox"/> Education	<input type="checkbox"/> Other _____

13. How else could your probation officer help you while on probation?
14. Please give an overall rating of your experience with the adult probation department.  
☐ Very satisfied ☐ Satisfied ☐ Dissatisfied ☐ Very dissatisfied

# Calendar of Events

2008 - 2009

- |                       |  |                       |  |
|-----------------------|--|-----------------------|--|
| July 14-16, 2008      | <b>8th Annual IAFMHS Conference.</b> For more information, contact Tracey Moropito at +1 (604)924-5026 or visit <a href="http://www.iafmhs.org">www.iafmhs.org</a>   | September 18-20, 2008 | <b>Roots and Wings Seminars A World-Class</b> Detroit, MI. For more information visit <a href="http://www.reclaiming.com/">www.reclaiming.com/</a>   |
| July 16- 18, 2008     | <b>G.R.E.A.T. National Training Conference 2008 - Building Bridges to a G.R.E.A.T. Future.</b> St. Louis, MO. For more information, contact <a href="mailto:information@great-online.org">information@great-online.org</a>   | October 2-4, 2008     | <b>NCPC Take A Bite Out of Crime!</b> For more information, contact Robbi Woodson at <a href="mailto:rwoodson@sheriffs.org">rwoodson@sheriffs.org</a>  |
| July 16-20, 2008      | <b>National Technical Assistance Center Training Institutes</b> Nashville, TN. For more information, visit <a href="http://gucchd.georgetown.edu/programs/ta_center/TrainingInstitutes/">http://gucchd.georgetown.edu/programs/ta_center/TrainingInstitutes/</a>               | October 9-10, 2008    | <b>Breakthrough Strategies to Teach and Counsel Troubled Youth</b> Portland, OR. For more information, visit, <a href="http://www.youthchg.com/live.html">www.youthchg.com/live.html</a>   |
| July 20-22, 2008      | <b>9th Annual Governor's Conference on Juvenile Justice</b> Topeka, KS. For more information, visit <a href="http://www.dce.k-state.edu/conf/juvenilejustice/index.shtml">www.dce.k-state.edu/conf/juvenilejustice/index.shtml</a>   | October 19-21, 2008   | <b>2008 OCJA Training Conference</b> Bend, OR For more information, visit <a href="http://www.code4.org">www.code4.org</a> .   |
| July 21-23, 2008      | <b>Youth Services Summit</b> Washington, DC. For more information, visit <a href="http://www.youthservicesummit.org">www.youthservicesummit.org</a> .  | October 20-22, 2008   | <b>Crime Prevention Specialist Training</b> Denver, CO. For more information, visit <a href="http://www.iscpp.org">www.iscpp.org</a>   |
| August 1-3, 2008      | <b>California Black-Brown Summit on Reentry Recidivism (BBS)</b> Stockton, CA-For more information, contact <a href="mailto:black-brown2@sbcglobal.net">black-brown2@sbcglobal.net</a> .   | November 2-5, 2008    | <b>Probation Officer's Association of Ontario Annual Symposium</b> Niagara Falls, Ontario For more information, visit <a href="http://www.poao.org">www.poao.org</a> .   |
| August 3-6, 2008      | <b>APPA 33rd Annual Training Institute Las Vegas, NV.</b> For more information, go to <a href="http://www.appa-net.org/institutes/2008_vegas/attendee/">www.appa-net.org/institutes/2008_vegas/attendee/</a>   | November 10-11, 2008  | <b>Sexually Violent Crime: The Body as Evidence</b> Fairfax, VA. For more information, visit <a href="http://ocpe.gmu.edu/svc3.html">http://ocpe.gmu.edu/svc3.html</a>   |
| August 8-13, 2008     | <b>American Correctional Association 138th Congress of Corrections</b> New Orleans, LA. For more information, visit <a href="http://www.aca.org">www.aca.org</a> or contact <a href="mailto:NOLA08@aca.org">NOLA08@aca.org</a> .   | November 16-19, 2008  | <b>New England Council on Crime and Delinquency's</b> Newport, RI. For more information visit <a href="http://www.neccd.org">www.neccd.org</a>   |
| August 19-20, 2008    | <b>Compassion Fatigue/Vicarious Trauma</b> Spokane, WA. For more information, visit <a href="http://www.sei2003.com/ovcttac2008/CompassionAugust.htm">www.sei2003.com/ovcttac2008/CompassionAugust.htm</a>   | December 10-12, 2008  | <b>Behind Closed Doors: Preventing, Responding, Investigating, and Prosecuting Sexual Abuse in Juvenile</b> Corpus Christi, TX. For more information, visit <a href="http://www.tjpc.state.tx.us/default.htm">www.tjpc.state.tx.us/default.htm</a> |
| August 26-29, 2008    | <b>19th Annual NAPSA Conference - "APS: Advocating, Protecting and Serving Vulnerable Adults"</b> Chicago, IL. For more information, visit <a href="http://www.apsnetwork.org/Training/conference.htm">www.apsnetwork.org/Training/conference.htm</a>                          | February 8-11, 2009   | <b>APPA 2009 Winter Training Institute</b> Myrtle Beach, SC For more information, visit <a href="http://www.appa-net.org">www.appa-net.org</a>   |
| August 27-30, 2008    | <b>10th Conference of the International Association for the Treatment of Sexual Offenders (IATSO)</b> Cape Town, South Africa, For more information visit <a href="http://www.iatso.org/08capetown/download_abstracts.pdf">www.iatso.org/08capetown/download_abstracts.pdf</a> | August 23-26, 2009    | <b>APPA 34th Annual Training Institute</b> Anaheim, CA For more information, go to <a href="http://www.appa-net.org">www.appa-net.org</a>  |
| September 16-18, 2008 | <b>Providing Culturally Competent Services to Victims of Crime</b> Lincoln, NE. For more information visit <a href="http://www.sei2003.com/ovcttac2008/ProvidingCulturally.htm">www.sei2003.com/ovcttac2008/ProvidingCulturally.htm</a>  | August 15-18, 2010    | <b>APPA 35th Annual Training Institute</b> Washington, D.C. For more information, go to <a href="http://www.appa-net.org">www.appa-net.org</a>   |

To place your activities in Calendar of Events, please submit information to: Darlene Webb, American Probation and Parole Association, P.O. Box 17910, Lexington, KY 40578  
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