



PERSPECTIVES

THE JOURNAL OF THE AMERICAN PROBATION AND PAROLE ASSOCIATION

WWW.APPA-NET.ORG

VOLUME 45, NUMBER 3



EVOLVE AND ADAPT



BRIAN LOVINS
PRESIDENT

Artifacts, Rituals, and Language

I am inspired daily by the great work that probation and parole officers, supervisors, and leaders are doing across the country. I have met so many probation and parole staff who are amazingly dedicated and are truly helping those on their caseloads—and their families—find their way to better days, all while navigating their own personal lives. As we reflect on the past year and look to the future, we are reminded that our own health and well-being are important components of delivering effective interventions to people on supervision. We cannot be maximally effective if we are not in a healthy space. It is incumbent on our organizations, our leaders, and each person in our profession to make such a space for staff to be their best selves.

To do this is not easy. As administrators and supervisors, we are often focused on ensuring that the people on supervision are receiving the most effective interventions, seeing that policy and procedures are being followed, and responding to innumerable crises—and with all these responsibilities we may forget the needs of the staff members who are carrying out the work. During APPA's Leadership Summit, leaders are challenged to think about their role differently. For leaders to be successful, we have to start thinking about creating spaces where our staff can do their best. When we are successful at that, staff will come through. If we lose sight of the staff members and don't take care of them, they cannot effectively take care of the people on supervision.

Aaron Montgomery's presentation at the Annual Institute hit home on this point. He discussed how he was able to transform the experience of selling and purchasing a used car by examining the artifacts, rituals, and language that were maintaining the old sales environment. Using this analytic, sociological approach, he helped create a different and improved experience for staff and the customers during used car sales. A process such as that might be exactly what we need if we want to shift from our current top-down, authoritative, bureaucratic model of delivering practices to a center-out, adhocracy model that focuses on staff and the people we serve. In other words, we can work to develop new artifacts, rituals, and language that allow our dedicated staff to both thrive and excel in their work.

This edition of *Perspectives* begins to unpack some of the artifacts, rituals and language that need to change if we are to move forward and truly adopt evidence-based practices. From Maureen Buell's article on supporting the mental health of staff to Erin Epifanio's on stigma and responsivity for our LGBTQIA youth population, this series of articles reminds us that our language, our well-being, our staff's professionalism, and the services we provide must continue to evolve. Many need our help to improve their lives, and I am confident that as a profession we are up to the challenge.

A handwritten signature in dark ink, appearing to read "Brian Lovins".

**We seek to create a system of
community justice where:**

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

Primary prevention initiatives are cultivated through our leadership and guidance;

Our communities are empowered to own and participate in solutions;

Results are measured and direct our service delivery;

Dignity and respect describe how each person is treated;

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

Partnerships with stakeholders lead to shared ownership of our vision.

APPA *We see a fair, just and safe society*

vision
vision
vision

*where community partnerships are
restoring hope by embracing a
balance of prevention, intervention
and advocacy.*

from the executive director

This quarter we greet another excellent issue of Perspectives. The editors have again assembled a set of interesting articles, and those selected for this issue will increase your understanding in diverse areas. As noted by the editors, each of these pieces in some respect touches on adaptation and change—be it new challenges, new technologies, or new knowledge—all coming together to show us how to do better on a variety of fronts. And we can always do better!

If you are like me, the same thing happens again and again. I may think I have an adequate working knowledge in a subject area. Then, if I open myself up to the perspective of true experts and learn about new research, I'm amazed at the insights I've gained and at the shift in how I comprehend the big picture. It is gratifying to have the opportunity to learn.

And I always appreciate reminders about the importance of thinking about and planning for moving forward. I once saw a poster that said, "Even if you are on the right track, you'll get run over if you just sit there." Well, those in our profession didn't get run over as we adapted to COVID-19 contingencies, and we will not get run over by future challenges if we remember that change is inevitable and see the need to adapt and evolve as an opportunity, not a burden.

Truly, though, what caught me most as I read these articles was the human element. Nancy McCarthy's article on Alcoholics Anonymous made me think about those who need and benefit from having this resource. Erin Epifanio's overview on the intersection of LGBTQ youths and the criminal justice system made me reflect on the burdens carried by diverse individuals who are pushing for full acceptance and pride. I couldn't read Anthony Tatman's excellent piece on how to identify the best applicants without reflecting on personality and character and how having the right people on one's team is crucial. The timely words of Maureen Buell on staff stress and wellness concerns made me think of friends and coworkers over the years who have faced such issues. Finally, the description of probation changes in Florida by Joe Winkler made me think about the thousands of individuals who "wrote" that story with their hard work.

I thank each the authors who have submitted these valuable articles and the editorial board of Perspectives for their hard work. Good job!



VERONICA CUNNINGHAM
APPA EXECUTIVE DIRECTOR/CEO

A handwritten signature in black ink that reads "Veronica Cunningham".

editor's notes



JASON STAUFFER

ASSESSMENT AND CLASSIFICATION
SERVICES SUPERVISOR, TREATMENT
SERVICES DIVISION, BUREAU OF REENTRY
COORDINATION, PENNSYLVANIA
DEPARTMENT OF CORRECTIONS



KIMBERLY R. KRAS

ASSISTANT PROFESSOR, SCHOOL OF
PUBLIC AFFAIRS, SAN DIEGO STATE
UNIVERSITY

Adapting and evolving is a highly valued survival skill regardless of setting. In nature, it is survival of the fittest. In the corporate world, companies unable to adapt to marketing trends and changing demographics go out of business. In our business of community corrections, an inability to be flexible in approach is a detriment to both the clients and communities we serve. While community corrections agencies may not “go out of business,” we become extremely ineffective when we rigidly adhere to outdated models as times change. In the private sector, a new business emerges to satisfy a market need. In the public sector, our ability to maintain public safety through improving individual lives and reducing recidivism suffers if we are unresponsive to the community’s needs. Unlike in the private sector, nothing follows to right the ship. It is therefore crucial to our mission that we have an intrinsic desire to adapt and evolve.

Desire to adapt and evolve is merely a mindset. Having the mindset is meaningless if we do not have the ability to do so effectively. This issue of *Perspectives* is devoted to research, commentary, and example programs that have successfully adapted to changing circumstances or have been implemented as a result thereof.

As the result of COVID-19, many programs and agencies began leveraging technology to become effective in a world where in-person meetings were either discouraged or not permitted. Nancy McCarthy provides the *Perspectives* audience with a look at how Alcoholics Anonymous (AA) persevered through the pandemic and how some new practices can support officers in helping AA continue to meet its objectives. In doing so, McCarthy highlights the importance of community corrections practitioners’ understanding of and collaboration with AA.

Joe Winkler, Assistant Secretary of Community Corrections in the Florida Department of Corrections, submits an article entitled “Probation-Past, Present, and Future.” He describes the evolution of community corrections in Florida with examples of precipitating events across place and time that guided the way Florida “does business,” ultimately informing present day operations. We are confident that many

EVOLVE AND ADAPT

Perspectives readers will be interested in comparing the evolution of programs in their own states with those in Florida and seeing how Florida handled—and is still dealing with—challenges like those they have faced. Of particular interest is the insight Mr. Winkler provides into the future of community corrections regarding the use of technology, client communication enhancement, and reducing office “footprint.”

It has been a long time coming, but the field is finally acknowledging and beginning to deal with issues related to employee wellness. In “What about Us? Correctional Staff Health and Wellness,” Maureen Buell, of the National Institute of Corrections, provides a thorough accounting of specific actions taken across the country by many associations and federal/state agencies to enhance the health and well-being of staff. Those working in our field can experience significant work-related trauma and encounter a myriad of stressors, and for agencies to adapt and evolve to help with these issues will be a significant step forward—one that can enhance and perhaps even save the lives of staff.

Increased understanding is often the key to changing course, evolving, and growing, and this is especially true in our field, where we aspire to be driven by science to attain desired results. LGBTQ youth and their involvement in the criminal justice system are ripe for expanded research. Erin Epifanio enlightens the *Perspectives* audience with what is known and what needs to be known on this topic in “LGBTQ Youths’ Responsivity Needs Under the Risk-Needs-Responsivity Model.” Understanding and attending to the needs of clients related to their gender identity is of utmost importance in our quest to be responsive in the field.

Finally, we are pleased to be jolted out of our previous hiring practices by learning from Anthony Tatman of Critical Hire, PLC, about new tools for corrections agencies to use in finding the best fit when filling staff vacancies. In “Three Assessments That Will Help Correctional Agencies Hire Top Performers,” Tatman describes how assessments can help identify candidates who have integrity and psychological health. Such an advance makes a great deal of sense—especially in agencies that strongly believe in the science of actuarial risk/need assessments for the populations that they serve.

As we begin returning to normal, we should reflect on how much we have changed in community corrections in order to survive and thrive over the past year and a half. The need to adapt and evolve is not new to our field, but it certainly came to the forefront—and quite rapidly. From this experience we have learned that we can change course and adopt new practices very quickly and effectively when necessary. Change always comes, whether incremental or not, and it is good to have our eyes open, with a clear vision of our way forward and without anxiety. With that in mind, it is hoped that this issue of *Perspectives* helps you reflect on your own experiences as well as those of others and, in fact, serves to give you perspectives!

Kim and Jason

The image shows two handwritten signatures in black ink. The signature on the left is written in a cursive, flowing style and appears to read 'Kim'. The signature on the right is more stylized and abstract, with a large, sweeping loop, and appears to read 'Jason'.



CONNECTED AGENCIES ARE INFORMED AGENCIES

When information flows freely among justice partners, serving the public becomes easier.

With Tyler Alliance™, criminal justice transactions between departments and jurisdictions become transparent and efficient. Our integrated software empowers probation departments, law enforcement, jails, courts and civil service to collaborate more effectively, make more informed decisions, and provide better public service.

Since real-time data is immediately available, courts share critical information like pretrial detention status, prosecutors share charges, and probation officers streamline client monitoring. This means better administration of justice, lower recidivism, and more vibrant communities.

Create vibrant communities at [tylertech.com\ElevatePretrial](https://tylertech.com/ElevatePretrial).



Empowering people who serve the public®

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 abroad. 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. Articles must be emailed to perspectives@csg.org in accordance with the following deadlines:

Unless previously discussed with the editors, submissions should not exceed 12 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 and in American Psychological Association (APA) Style. Authors should provide a one-paragraph biography, along with contact information. 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., to (Mattson, 2015, p. 73). Alphabetize each reference at the end of the text using the following format:

Mattson, B. (2015). Technology supports decision making in health and justice. *Perspectives*, 39(4), 70-79.

Hanser, R. D. (2014). *Community corrections* (2nd ed.). Thousand Oaks, CA: Sage.

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.

appa affiliate members

Academy of Criminal Justice Sciences
American Correctional Association
Association of Paroling Authorities International
Association of Women Executives in Corrections
AZ Chief Probation Officers Association
AZ Probation Parole and Corrections Association
Chief Probation Officers of CA
Confederation of European Probation
Correctional Leaders Association
Crime Prevention Coalition of America / National Crime Prevention Council
Dismas Charities, Inc.
IJIS Institute
IN Association of Community Correction Act Counties
International Community Corrections Association
Interstate Commission for Adult Offender Supervision
MN Association of Community Corrections Act Counties
MN Association of County Probation Officers
MN Corrections Association
National Association of Pretrial Services Agencies
National Association of Probation Executives
New England Council on Crime and Delinquency
New York State Probation Officers Association
New Zealand Association of Probation Officers
NY State Council of Probation Administrators
OH Chief Probation Officers Association
OR Juvenile Dept. Directors' Assn.
Probation and Community Corrections Officers Association
Probation Association of New Jersey
Probation Officers Association of Wielkopolska
Probation Officers Professional Association of IN
SC Department of Probation, Parole and Pardon Services
VA Probation and Parole Association
Westmoreland County Adult Probation
WV Association of Probation Officers

features

13

ALCOHOLICS ANONYMOUS: A FRESH LOOK DURING COVID-19

BY NANCY MCCARTHY

23

PROBATION- PAST, PRESENT, AND FUTURE

JOE WINKLER, ASSISTANT SECRETARY OF COMMUNITY CORRECTIONS

FLORIDA DEPARTMENT OF CORRECTIONS

35

WHAT ABOUT US? CORRECTIONAL STAFF HEALTH AND WELLNESS

MAUREEN BUELL, CORRECTIONAL PROGRAM SPECIALIST
NATIONAL INSTITUTE OF CORRECTIONS

47

LGBTQ YOUTHS' RESPONSIVITY NEEDS UNDER THE RISK-NEED-RESPONSIVITY MODEL

BY ERIN (KATHERINE) EPIFANIO BY ERIN (KATHERINE) EPIFANIO

55

THREE ASSESSMENTS THAT WILL HELP CORRECTIONAL AGENCIES HIRE TOP PERFORMERS

ANTHONY TATMAN, PH.D.
CRITICAL HIRE, PLC

departments

10 PRODUCTION STAFF

11 APPA CORPORATE MEMBERS

PRODUCTION STAFF

Veronica Cunningham	Editor in Chief
Kimberly Kras	<i>Perspectives</i> Co-Editor
Jason Stauffer	<i>Perspectives</i> Co-Editor
Kevin Sweeney	Production Coordinator
Julie Pelstring	Desktop Publisher

APPA DIRECTORY

APPA Main	(859) 244-8204
Publication Orders	(859) 244-8204
General Training Institute	(859) 244-8204
Information Clearinghouse	(859) 244-8204
Membership	(859) 244-8204
Request for Training	(859) 244-8206
Resource Expo	(859) 244-8206
Advertising	(859) 244-8206
Grants/TA	(859) 244-8236

BOARD OF DIRECTORS

Brian Lovins	President
Susan Rice	President-Elect
Marcus Hodges	Vice President
Tom Gregory	Treasurer
Audrey Rigsbee	Secretary
Tim Hardy	Immediate Past President
Scott Taylor	Second Past President
Isabel Perez-Morina	Affiliate Representative
Tania Appling	Member At-Large Representative
Alyza Gonzalez	Line Staff Representative
Herb Sinkinson	Region 1 Representative
Corinne Brisco	Region 2 Representative
Dena Davis	Region 3 Representative
Gene Cotter	Region 4 Representative
LaTasha Jones	Region 5 Representative

Veronica Cunningham Executive Director/CEO

Communications should be addressed to:
American Probation and Parole Association
c/o The Council of State Governments
1776 Avenue of the States, Lexington, KY, 40511
Fax: (859) 244-8001, E-mail: appa@csg.org
Website: www.appa-net.org

Perspectives is published four times annually by the American Probation and Parole Association through its secretariat office in Lexington, Kentucky.

ISSN 0821-1507

Reprint permission. Direct requests for permission to use material published in *Perspectives* in writing to perspectives@csg.org.

© 2021 The Council of State Governments



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.

editorial board

CO-CHAIRS

JASON STAUFFER

Assessment and Classification
Services Supervisor, Treatment
Services Division, Bureau of
Reentry Coordination Pennsylvania
Department of Corrections
1920 Technology Parkway
Mechanicsburg, PA 17050
Phone: (717) 361-4300
jastauffer@pa.gov

KIMBERLY R. KRAS, PHD,

San Diego State University
Department of Criminal Justice
School of Public Affairs
5500 Campanile Drive
San Diego, CA 92182
Phone: (619) 594-1158
kkras@sdsu.edu

BOARD MEMBERS:

Eileen Ahlin, PhD, Penn State
Harrisburg

Ansley Dille, Utah Administrative
Office of the Courts

Lauren Duhaime, Bureau of
Justice Assistance/George Mason
University

Phillip Galli, University of
Wisconsin-River Falls

Lily Gleicher, PhD, Robina
Institute/DePaul University

Shelley Johnson, PhD, University of
North Carolina Charlotte

Jennifer Lanterman, PhD,
University of Nevada Reno

Sarah Manchak, PhD, University
of Cincinnati

Katie Meyer, CAIS/JAIS Program
Manager

Carrie Ross, Yavapai County Adult
Probation

David Sattler, Washington State
Administrative Office of the Courts

Reveka Shteynberg, PhD,
California State University San
Bernardino

Renea Snyder, Public Health
Advisor

Mark Stodola, NHTSA Probation
Fellow

David Taylor, Montgomery County
(OH) Probation

Reyna Cartagena Vasquez,
CSOSA

Jill Viglione, PhD, University of
Central Florida

Melissa Waldock, Kansas
Department of Corrections

Susan Wright, Pennsylvania
Counseling Services



APPA CORPORATE MEMBERS

Corporations with an interest in the field of probation, parole, and community corrections are invited to become APPA corporate members. Corporate members receive benefits such as enhanced visibility among APPA's international network of community corrections professionals, as well as shared information on the latest trends and issues that specifically affect community corrections.



American Community Corrections Institute

Trevor Lloyd
President
American Community Corrections Institute
Phone: 435 767-9658
Website: <https://www.accilifeskills.com/>



Acivilate

Louise Wasilewski
CEO
Acivilate, Inc.
75 5th Street NW, Suite 2310
Atlanta, GA 30308
Phone: 678.662.6465
Website: <https://www.acivilate.com>



Attenti

Kerri Ryan
Director of Marketing and Business Development
1838 Gunn Highway
Odessa, FL 33556
Phone: (813) 749.5454 x 1275
Email: kryan@attentigroup.com
Website: <https://www.attentigroup.com>



averhealth

Justin Manni
Director of Business Development
1700 Bayberry Court, Suite 105
Richmond, VA 23226
Phone: (848) 992.3650
Email: jmanni@averhealth.com
Website: <https://www.averhealth.com>



Buddi

Kyle Chapin
Director of Account Management
Buddi US, LLC
1964 Bayshore Blvd., Suite B
Dunedin, FL 34698
Phone: (727) 560-8432



The Change Companies

Jesse Tillotson
National Director of Justice Services
The Change Companies
5221 Sigstrom Dr
Carson City, NV 89706
Phone: (888)889-8866
Website: <https://www.changecompanies.net/>



Cordico

Brady Pilster
Director of Business Development
2377 Gold Meadow Way, Suite 100
Gold River, CA 95670
Phone: (844) 267-3426
Email: brady.pilster@cordico.com
Website: <https://www.cordico.com>



CoreCivic

Shannon Carst
Managing Director
5501 Virginia Way
Ste 110
Brentwood, TN 37027
Phone: 303-842-8301
Email: shannon.carst@corecivic.com
Website: <https://www.corecivic.com>



Corrisoft

Susan Harrod
VP, Sales & Marketing
Corrisoft
1648 McGrathiana Pkwy, Suite 225
Lexington, KY 40511
Phone: (217) 899.5323
Email: sharrod@corrisoft.com
Website: <https://corrisoft.com/>



Corrections Software Solutions

James Redus
President
316 North Lamar Street
Austin, TX 78703
Phone: (512) 347.1366
Fax: (512) 347.1310
Email: jredus@correctionssoftware.com
Website: <https://www.correctionssoftware.com>



Geo Care

Monica Hook
Marketing Communications Director
621 NW 53rd Street, Suite 700
Boca Raton, FL 33487
Phone: (800) 241.2911 x 1230
Email: monica.hook@bi.com
Website: <https://www.geogroup.com>



Intoxalock

Linda Vadel
Affiliate Marketing Coordinator
11035 Aurora Avenue
Des Moines, IA 50322
Phone: (515) 251.3747
Email: lvadel@intoxalock.com
Website: <https://www.intoxalock.com>



Journal Technologies

Heidi Henry
Senior Account Executive



Micro Distributing

Roy G. Whiteside, Jr.
Vice President
Micro Distributing II, Ltd.
PO Box 1753
620 Kennedy Court
Belton, TX 76513
Primary: (254) 939-8923
Office: (254) 939-5867
Email: royw@micro-distributing.com
Website: <https://www.micro-distributing.com/>



Management and Training Corporation (MTC)

Alisa Malone
Director, Partnerships
500 N. Marketplace Drive
Centerville, UT 84014
Primary: (801) 693-2600
Email: alisa.malone@mtctrains.com
Website: <http://www.mtctrains.com/>



National Curriculum and Training Institute

Gary Bushkin
President
319 East McDowell Road, Suite 200
Phoenix, AZ 85004-1534
Phone: (602) 252.3100
Email: gbushkin@ncti.org
Website: <https://www.ncti.org>



Northpointe

Primary Contact
Chris Kamin
General Manager
Equivant
office: (608) 416-4302
mobile: (608) 577-1755



Omnalink

Thomas McKay
Senior Marketing Manager, Omnilink
400 Interstate North Pkwy Suite 900
Atlanta, GA 30339
Phone: (877) 687-7795
Website: <https://www.sierrawireless.com/products-and-solutions/managed-iot-services/omnilink-offender-monitoring-solution/>



Promise

Diana Frappier
Chief Legal Officer
436 14th Street, Ste 920
Oakland, CA 94612
Phone: (415) 305.4560
Email: diana@joinpromise.com
Website: <https://joinpromise.com>



Reconnect, Inc

Sam Hotchkiss
Founder & CEO
1 Faraday Drive
Cumberland, Maine 04021
Email: info@reconnect.io
Website: <https://www.reconnect.io>



RemoteCOM

Robert Rosenbusch
President/CEO
www.Remotecom.net
2251 Double Creek Dr. Suite 404
Round Rock, TX 78664
Phone: (866)776-0731

SCRAM +LifeSafer

Jed Rosenberg
Senior Marketing Manager
Scram Systems
1241 West Mineral Avenue
Littleton, CO 80120
Phone: (720) 261-6576
Website: <https://www.scramsystems.com/>

Securus Technologies

Jose Andrade
Vice President, Sales
14651 Dallas Parkway, Suite 600
Dallas, TX 75254
Phone: (800) 844.6591
Email: jandrade@stopllc.com
Website: <https://www.securustechnologies.com>

Shadowtrack

Robert L. Magaletta
ShadowTrack Technologies, Inc.
Cypress Bend Office Building
1001 Ochsner Blvd., Ste. 425A
Covington, LA 70433
Office: (985) 867.3771 Ext 120
Email: robert@shadowtrack.com
Website: <https://www.shadowtrack.com>

Smart Start, Inc.

Michelle H. Whitaker
Conference and Promotions Coordinator
500 East Dallas Road
Grapevine, TX 76051
Phone: (919) 604.2513
Email: michelle.whitaker@smartstartinc.com
Website: <https://www.smartstartinc.com>



Track Group

Matthew Swando
VP of Sales and Marketing
1215 North Lakeview Court
Romeoville, IL 60446
Phone: (877) 260.2010
Email: matthew.swando@trackgrp.com
Website: <https://www.trackgrp.com>



TRACKtech

Ben Williams
Vice President - Business Development
6295 Greenwood Plaza Blvd, Suite 100
Greenwood Village, CO 80111
Phone: (303) 834-7519
Email: ben.williams@tracktechllc.com
Website: <https://tracktechllc.com/>



Tyler Technologies

Larry Stanton
Director of Sales - Courts & Justice
5101 Tennyson Parkway
Plano, TX 75024
Phone: (904) 654.3741
Email: larry.stanton@tylertech.com
Website: <https://www.tylertech.com>



Uptrust

Susan Rice
Director of Community Supervision Partnerships
1 Sutter Street, Suite 350
San Francisco, CA 94104
765-469-1593
Email: Susan@uptrust.co
Website: <https://www.uptrust.co>



Vant4ge

Sean Hosman
National Sales Leader – Public Sector
Vant4ge
P.O. Box 802
Salt Lake City, UT 84110
Phone: (877) 744-1360
Email: shosman@vant4ge.com
Website: <https://vant4ge.com/>



APPA ASSOCIATE MEMBERS

AdventFS

Daniel Flick
Sales Manager
2927 Ring Road
Elizabethtown, KY, 42701
Phone: (270) 209.0422
Email: jjhartlage@adventfs.com
Website: <https://www.adventfs.com>

Performance-Based Standards Learning Institute

Kim Godfrey Lovett
Executive Director
350 Granite Street, Suite 1203
Braintree, MA 02184

Precision Kiosk Technologies

David Kreitzer
General Manager
2855 Country Drive, Suite 100
Little Canada, MN 55117
Phone: (651) 383.1213
Email: dkreitzer@precisionkiosktech.com
Website: <https://precisionkiosktech.com>

ALCOHOLICS ANONYMOUS: A FRESH LOOK DURING COVID-19

BY NANCY MCCARTHY



EVOLVE AND ADAPT

At the end of 2018, there were 4,508,900 people on community supervision, 80% on probation and the other 20% on parole supervision, as reported by the Bureau of Justice Statistics (Kaeble & Alper, 2020). Each probation/parole officer (PO) working with this growing supervision population faces a more difficult job when individuals on supervision have alcohol or substance abuse disorders and, without question, alcohol use has increased in America during the COVID-19 pandemic. A national study of adults over 30 published in the *Journal of the American Medical Association Network Open* showed that the frequency of alcohol consumption has increased by 14% over 2019 and that women are drinking more heavily, an increase of 41% over 2019 (Pollard, Tucker, & Green, 2020).

Alcoholics Anonymous (AA) has shown great resilience in adapting to the pandemic and remains a viable community of support for alcoholics on community supervision. The help that AA offers individuals suffering from alcoholism is valued by many POs, but there remain misconceptions about AA in terms of what it can and cannot do. During a crisis period, with an increase in clients on community supervision, it is time to restate the benefits AA can provide for those on probation and parole and for the criminal justice system in general.

In this article, I will provide information on the history and effectiveness of AA alongside perspectives of justice professionals who routinely interact with AA. The justice professionals I interviewed for this article include those who have served as U.S. District Court and State Circuit Court judges as well as a Chief Probation Officer who has managed individuals placed on community supervision by the federal court system. I then present notes and recommendations from my time as an officer and ultimately as Regional Administrator for the Missouri Division of Probation and Parole.

Origin and Overview of Alcoholics Anonymous

The world's first and oldest Twelve Step recovery program, Alcoholics Anonymous, was

founded in 1935 as the outcome of a meeting between Bill W., a New York stockbroker, and Dr. Bob S., an Akron surgeon, both suffering from alcohol addiction. Their meeting initiated a peer-to-peer program of recovery from alcoholism that has touched many lives and has grown to include more than two million people worldwide (Alcoholics Anonymous World Services, Inc., 2021). To understand the nature of the AA program, it is important to learn certain core aspects of AA structure and policies. For example, while AA has one central clearinghouse for information (its General Service Office in New York), AA groups are autonomous and varied, guided only by a set of suggestions put forth in AA's Twelve Traditions. AA does not accept outside contributions; it supports itself through member donations and the sale of literature. In addition, it does not offer medical advice. It has no opinion, for instance, on the use of prescribed medications or on Medication-Assisted Therapy.

Finally, AA is a program of complete abstinence, but only AA's First Step mentions alcohol. The rest of the Steps are aimed at changing behaviors to arrest a disease that affects mind, body, and spirit. There is no timetable for doing the steps; AA members progress, with the help of a sponsor, at their own pace. Essential to an alcoholic's recovery is finding a network of support among fellow alcoholics who have gone through similar experiences, which is why AA can be so effective in working with individuals released under community supervision who suffer from alcohol addiction and are seeking help with their drinking.

Because of the use of quasi-religious language in AA's Twelve Steps and main text (*Alcoholics Anonymous* or "the Big Book"), the courts have found AA to be a "deity-based" program. As such, courts can refer clients to Alcoholics Anonymous but cannot require participation without violating the First Amendment.

Is Alcoholics Anonymous Effective?

Many POs do see AA as a free and readily available support for clients with alcohol

EVOLVE AND ADAPT

use disorders. Research shows evidence of the effectiveness of this support. Studies indicate that individuals who participate in AA following in-patient treatment have more alcohol-free days compared to non-participants (Gossop et al., 2003; Humphreys, Blodgett, & Wagner, 2014). In March 2020, a meta-analysis published by Kelly and colleagues, examining 27 previous studies involving nearly 10,565 participants, found that people who experience Twelve Step Facilitation in AA are 20-60% more likely to remain abstinent than they are with other scientifically proven treatments for alcohol use disorder, including cognitive behavioral therapy and outpatient treatment by a mental health professional (Kelly, Humphreys, & Ferri, 2020; see also Stanford University, 2020).

One of the study's co-authors, Dr. John Kelly, the Elizabeth R. Spallin Professor of Psychiatry in the Field of Addiction Medicine at Harvard Medical School and Director of the Massachusetts General Hospital Recovery Research Institute, told the Cochrane Collaboration (2020) in an interview:

When compared to other well-established, commonly delivered treatments for alcohol use disorder, AA/TSF generally performs as well as other interventions on most clinical outcomes, except for abstinence, where it does quite a bit better—particularly true for helping many more patients achieve sustained abstinence and remission. The review also found that AA/TSF reduced health care costs substantially while simultaneously improving patient abstinence relative to other treatments. One of the ways AA helps more people over the long-term is through its ability to keep people actively involved in its recovery focused peer support social network (paragraphs 6 and 11).

Even though some consider Alcoholics Anonymous to be religious in nature, those familiar with AA often have had a different viewpoint. In an interview I conducted with Judge Ivan A. Lemelle, a Senior United States District Judge for the Eastern District of Louisiana in New Orleans and a former Class A (nonalcoholic) trustee on the General

Service Board of Alcoholics Anonymous, he stated:

There may be people who have the idea that Alcoholics Anonymous is religiously based, but after decades of personally witnessing life-saving experiences shared in the rooms of AA by persons from all walks of life, I can unequivocally say AA is not a religion, nor a sect. It is open to all who wish to stop drinking. AA's Twelve Steps help suffering alcoholics on probation or parole in terms of sponsorship and getting them to meetings—all without any requirement to practice or align themselves with any religious ideology. AA doesn't judge anyone. Its doors are open to everyone.

It is important to note that individual AA meetings can vary greatly. A client may find one meeting that does indeed strike him or her as religious if, for instance, a prayer is said, or another where he or she may not relate to the group members. If one AA meeting does not meet a client's needs, the solution is simply to find another meeting. According to the best annual estimates from AA's General Service Office, as of December 2020, there were nearly 75,000 AA groups in the United States and Canada in addition to 1,500 meetings which are held in correctional facilities (Alcoholics Anonymous, 2020). Most of these groups hold multiple meetings at their locations, and the only requirement for membership, as stated in AA's Third Tradition, "is a desire to stop drinking."

A Meeting for Everyone

It is helpful for clients to become aware of the wide variety of meetings held in AA, as there is, almost literally, a meeting for everyone. There are meetings for newcomers and young people, Spanish-speaking meetings, LGBTQ+ meetings, meetings for those with dual diagnoses, sign language meetings for the deaf, meditation meetings, secular (or "atheist/agnostic") meetings, and many more.

AA meeting listings are generally accompanied by the notation "open" or "closed." An open meeting means that non-alcoholics such as family members or professionals can attend, while a closed meeting is only for those with a desire to stop drinking. AA welcomes the attendance of POs

at open meetings. Group members appreciate the opportunity to be of service and to help POs understand how AA works, so that this information can be imparted to clients seeking sobriety.

The Pandemic and Isolation

It is well known that loneliness and substance abuse go hand in hand (Hosseini, Ardekani, Bakhshani, & Bakhshani, 2014), and social-distancing measures to thwart COVID-19 have spawned an increase in isolation that is difficult even for those without addiction issues. AA recommends that individuals seeking sobriety stay away from “playmates and playgrounds,” i.e., avoiding the people, places, and things that led them to make poor decisions previously. For the client who is diagnosed with alcohol use disorder, AA can become a new community of support. Attending meetings with sober people surrounds the individual with others in a like-minded group who are not drinking and who are seeking ways to lead responsible lives. AA challenges its members to change cognitively in terms of thinking and responding to issues without using alcohol, encouraging a program of honesty and self-examination. The focus is on examining past misdeeds with clarity and learning how to move forward.

In addition, AA can provide a “sponsor” who offers no judgment, but instead helps guide the newcomer toward a solid recovery by working AA’s Twelve Steps. During an interview with Veronica Ramirez, Chief Probation Officer for the Eastern District of Louisiana, who has attended open AA meetings as an observer, she said: “Some of our clients have no one—just no one. And so, to have this environment available to them is tremendously important.”

Even before the pandemic, AA had been turning to new technologies to reach suffering alcoholics, but it redoubled its efforts as in-person meetings ended. These new technologies have been largely supported in the research literature (see Huskamp et al., 2018, and Lin et al., 2019). In a review of telehealth models for

providing services to people with a substance use disorder, Oesterle et al. (2020) found that the use of telehealth programs is increasing but remains underutilized. In a study of the potential for online 12-step meetings to promote the same therapeutic benefits as in person programs, Bergman, Kelly, Fava, and Evins (2021) found that online meetings were as effective as those conducted in person in facilitating sobriety; however, they note that barriers to accessing treatment remain, such as lack of adequate technology or broadband and concerns with privacy issues. The consensus appears to be that there is reason to believe that AA can aid its members and remain a useful tool for community supervision even in the face of the pandemic—a time of great need for support of people with substance use disorder (especially those in isolation).

The Meeting Guide App

Those who are newly released from jail or prison may now take advantage of a convenient option for finding AA meetings and a host of different meeting platforms and formats from which to choose. For example, to help clients find AA meetings, POs can now recommend the Meeting Guide app. Free of charge and easily downloadable to a clients’ phone, tablet, or computer through typical app vendors, the Meeting Guide app is connected to hundreds of local AA central offices, allowing users to access updated information about meeting locations and times. This easy-to-use app gives directions to physical meetings close to people’s homes or places of employment; provides links to virtual meetings; and clearly enumerates the name, address, and time of each meeting as well as what type of AA meeting it is. Currently, there are nearly 125,000 meetings on the app, with 251,000 monthly active users.

Online Meetings

Because of the COVID-19 pandemic, 95% of AA meetings are being held virtually, mostly on Zoom, but also on Skype, WebEx, and other platforms. When POs recommend that clients attend AA meetings held on Zoom,

EVOLVE AND ADAPT

it is important to make sure that clients ask meeting chairs how best to verify attendance. Currently, some clients are taking pictures of the Zoom screens in order to prove they were present, but from the point of view of AA this compromises the program's all-important principle of anonymity. Some meeting chairs are verifying attendance through electronic signatures in Zoom chats, and certain online meetings can be verified via an email to the PO. However, other groups have made a group decision not to provide such verification due to anonymity concerns. Clients may also be concerned about anonymity, and, if so, then POs can advise them to use only their first name on a Zoom meeting call and turn their cameras off, if they wish. Once again, it is important for clients to find the right meeting to suit their needs and determine what their PO will require to verify attendance.

In another and possibly more valuable approach, the supervising officer can ask what type of meeting clients attended, what step the meeting covered, or how clients are going to incorporate what was learned at the meeting into their sober lives. Once AA's gatherings resume in person, these same questions can also aid in determining whether a client is present at meetings. In fact, repeated questions to clients may be a more accurate way of assessing the value of attendance than a signed meeting card.

Zoom meetings cannot match the warmth and sense of connection found at in-person AA meetings. In the interview with Judge Lemelle, he stated, "This may be affecting those who want to go to a meeting but can do so only virtually." However, virtual meetings do have benefits for clients on community supervision. One such benefit is ready availability; if the client has smartphone or computer access, he or she can find a meeting almost 24 hours a day, without need for transportation.

Zoom meetings are not the only online option. There are email meetings where an email is sent out on a specific topic; chat

(text) meetings that include a live chat following the same format as a face-to-face meeting; discussion forums or message boards where a topic is posted and group members post in return (these are active 24/7); and the old-fashioned telephone, where meetings are conducted via a conference call format. If POs have a client who does not have access to the internet or a smartphone, they can contact their local AA central office to arrange a process by which these individuals can attend meetings online.

Other AA Connection Points During COVID-19

Because AA has come a long way technologically in recent years, clients can benefit as never before. AA's central website, aa.org, contains free links to crucial AA recovery literature such as *Alcoholics Anonymous* (the "Big Book"), *Twelve Steps and Twelve Traditions*, AA's *Daily Reflections*, and numerous pamphlets outlining AA's history and mission. The aa.org website also offers publicly available videos and audios.

Grapevine, AA's monthly magazine, contains contemporary stories of the struggles and achievements of sober people. Issues of the magazine focus on race, prison life, money, sobriety, being LGBTQ+ and sober, getting through tough times, learning how to enjoy sober life, being atheist/agnostic in AA, and other themes. Clients can sign up to be emailed *Grapevine's* free inspirational "Daily Quote," available in English and Spanish, which arrives every morning in the mailboxes of thousands of sober individuals. *Grapevine* also has a strong YouTube presence. Its AAGrapevine channel contains playlists featuring stories recorded by ordinary AA members who outline their experiences in maintaining sobriety. The AAGrapevine YouTube channel also contains Spanish-language audio stories from its sister magazine, *La Viña*.

Reaching Out to Promote Connections and Understanding

In an interview with Judge Christine Carpenter, who is an attorney and a retired circuit court judge in Columbia, Missouri, as well as a

EVOLVE AND ADAPT

Class A (nonalcoholic) trustee on AA's General Service Board, she said:

During my whole career, the concept I really wanted to work on is bringing the treatment court world and the AA world together. I would say that if I were a PO, I would try to establish some relationship with the AA Fellowship in my community, to get solid contact and specific Zoom meetings that are welcoming to newcomers.

Another issue in need of clarification is what AA refers to as "singleness of purpose." A desire to stop drinking is required for AA membership. Judge Carpenter says: "I think some probation officers see substance abuse and they recommend the client to AA, but that may not be appropriate if they are drug addicts and not alcoholics." AA's focus on alcoholics does not exclude alcoholics with other addictions, but first and foremost they must identify as suffering from alcohol addiction.

Community supervision and AA share a common goal: to help those with alcohol use disorder attain stable sobriety. To achieve this, communication needs to be a two-way street. In the above-mentioned interview with Chief Probation Officer Ramirez, she discussed this issue:

Having AA build relationships with the probation department and explaining what happens in AA will help us understand where AA fits into the supervision process. I do think that if AA could enhance those relationships—meet with chief probation officers and community corrections staff—it would help dispel misconceptions... But probation can do better in reaching out to AA. It fits in perfectly with what probation does, because we understand that when people reenter the community it is so important for them to have a strong support system and prosocial network. What AA does in terms of sponsorship and meetings—all of that is exactly what we do. Our contracted [treatment] services do a great job, so the idea of contracted services coupled with AA is very important to producing positive outcomes. And so, I think that if there is a little bit more education and a little bit more conversation

between AA and probation and parole, we could really work together to help our clients.

In this regard, the AA community, particularly through its Cooperation with the Professional Community (C.P.C.) committees, is eager to provide information and education to supervising officers. C.P.C. volunteers are willing to hold training seminars on virtual platforms, or to make such presentations in person once the pandemic is over, to help POs understand how better to connect their clients to the AA community.

A Personal Note

When I started as a probation and parole officer, I knew just a little bit about alcoholism and even less about treatment and recovery. When clients were diagnosed as needing treatment for alcoholism, I did what all POs did: I sent these clients to a treatment program and gave them a sheet to take to an AA meeting to get signed. When the client returned with the sheet, I did what all good POs were supposed to do: I looked at it to make sure there was different handwriting and different color ink. Then, if I was satisfied the client was not lying to me, I threw the sheet in the file and gave the client the same instructions: "Go to AA meetings."

However, in part through the experience of watching a family member get sober, I learned that a signed sheet tossed in a file, with no understanding of what I was asking the client to do, was not always beneficial for my clients. I began to realize that I had to not only understand what AA's Steps are but also to ensure that my clients understood that AA was not just a check off on my to-do list—that I had a genuine desire for them to achieve and maintain sobriety. Through reading AA materials and conversing with people in AA, I learned how to support my clients and how to help them as they strived for long-term sobriety. I took a few relatively simple steps that I believe helped the clients I worked with and may be helpful to POs today:

EVOLVE AND ADAPT

- I attended “open” meetings of AA;
- I signed up for the *Grapevine* magazine free email, “Daily Quote,” which is available in English and Spanish, can be truly inspirational, and gives a window into the program;
- I worked with local AA committees to learn about their process for helping clients transition;
- Once I understood that the AA program is about behavioral change, I was able to speak that language to clients—it is all about taking responsibility for actions without needless shame or guilt.

Clients may feel a tremendous amount of shame due to the harm they have done to others. Their shame can be compounded by the additional burdens they have placed on their families. However, when they enter an AA meeting and share what they have done, there is no judgment, only understanding.

In the world of corrections, we talk of the need for a community of support for our correctional clients whether they are on probation, in prison, or on parole. For those clients who are alcoholic, the fellowship of AA, through the sharing of stories of experience, strength, and hope, can become that community of support.

Useful links to more information about Alcoholics Anonymous:

Alcoholics Anonymous official website: <https://aa.org>

Find Local AA: a state-by-state link to AA’s central offices: https://www.aa.org/pages/en_US/find-local-aa

Online Intergroup: AA’s directory of online meetings <https://www.aa-intergroup.org/>

AA’s Cooperation with the Professional Community (C.P.C) desk at aa.org is available to provide information for professionals and connect them with the local C.P.C. committees in their area: https://aa.org/pages/en_US/information-for-professionals

About AA, AA’s newsletter for professionals: https://aa.org/pages/en_US/about-aa-newsletter-for-professionals

Box 459, AA’s monthly newsletter: https://aa.org/pages/en_US/box-4-5-9-news-and-notes-from-gso

Grapevine, The International Journal of Alcoholics Anonymous: <https://www.aagrapevine.org/>

La Viña, Grapevine’s Spanish-language sister magazine: <https://www.aalavina.org/>

References

- Alcoholics anonymous - Big Book (4th ed.). (2002). Alcoholics Anonymous World Services.
- Alcoholics Anonymous World Services, Inc. (2021). *AA Around the World*. Alcoholics Anonymous. https://www.aa.org/pages/en_us/aa-around-the-world#:~:text=The%20hand%20of%20Alcoholics%20Anonymous,estimated%20at%20over%20two%20million.
- Alcoholics Anonymous. (2020). *Estimates of AA Groups and Members as of December 31, 2020*. Alcoholics Anonymous. https://www.aa.org/assets/en_US/smf-53_en.pdf
- Bergman, B. G., Kelly, J. F., Fava, M., & Evins, A. E. (2021). Online recovery support meetings can help mitigate the public health consequences of COVID-19 for individuals with substance use disorder. *Addictive Behaviors* 113, 106661. <https://doi.org/10.1016/j.addbeh.2020.106661>
- Cochrane Collaboration. (2020). *Author interview: Alcoholics Anonymous and other 12-step programs for alcohol use disorder*. Cochrane Database of Systematic Reviews. <https://www.cochrane.org/news/author-interview-alcoholics-anonymous-and-other-12-step-programs-alcohol-use-disorder>
- Gossop, M., Harris, J., Best, D., Man, L. H., Manning, V., Marshall, J., & Strang, J. (2003). Is attendance at Alcoholics Anonymous meetings after inpatient treatment related to improved outcomes? A 6-month follow-up study. *Alcohol and Alcoholism*, 38(5), 421-426.
- Hosseini, M., Ardekani, S. M. Y., Bakhshani, S., & Bakhshani, S. (2014). Emotional and social loneliness in individuals with and without substance dependence disorder. *International Journal of High Risk Behaviors & Addiction*, 3(3).
- Humphreys, K., Blodgett, J. C., & Wagner, T. H. (2014). Estimating the efficacy of Alcoholics Anonymous without self-selection bias: An instrumental variables re-analysis of randomized clinical trials. *Alcoholism: Clinical and Experimental Research*, 38(11), 2688-2694. <https://doi.org/10.1111/acer.12557>
- Huskamp, H. A., Busch, A. B., Souza, J., Uscher-Pines, L., Rose, S., Wilcock, A., ... & Mehrotra, A. (2018). How is telemedicine being used in opioid and other substance use disorder treatment? *Health Affairs*, 37(12), 1940-1947.
- Kaeble, D., & Alper, M. (2020). Probation and parole in the United States, 2017-2018. Bureau of Justice Statistics. <https://www.bjs.gov/index.cfm?ty=pbdetail&iid=6986>
- Kelly, J.F., Humphreys, K., and Ferri, M. (2020). Alcoholics Anonymous and other 12-step programs for alcohol use disorder. *Cochrane Database of Systematic Reviews* 2020, (3). doi:10.1002/14651858.CD012880.pub2. <https://www.cochranelibrary.com/cdsr/doi/10.1002/14651858.CD012880.pub2/full>
- Lin, L. A., Casteel, D., Shigekawa, E., Weyrich, M. S., Roby, D. H., & McMenamin, S. B. (2019). Telemedicine-delivered treatment interventions for substance use disorders: A systematic review. *Journal of substance abuse treatment*, 101, 38-49.
- Oesterle, T. S., Kolla, B., Risma, C. J., Breiting, S. A., Rakocic, D. B., Loukianova, L. L., Hall-Flavin, D. K., Gentry, M. T., Rummans, T. A., Chauhan, M., & Gold, M. S. (2020). Substance use disorders and telehealth in the COVID-19 pandemic era: a new outlook. *Mayo Clinic Proceedings* 95(12), 2709-

2718. <https://doi.org/10.1016/j.mayocp.2020.10.011>

Pollard, M. S., Tucker, J. S., & Green, H. D. (2020). Changes in adult alcohol use and consequences during the COVID-19 pandemic in the US. *JAMA Network Open*. 3(9). doi:10.1001/jamanetworkopen.2020.22942. <https://jamanetwork.com/journals/jamanetworkopen/fullarticle/2770975>

Stanford University (2020). *Does Alcoholics Anonymous work?* [Video]. YouTube. https://www.youtube.com/watch?v=lgMjTlwh_LA

Author Bio:

Nancy McCarthy worked with the Missouri Department of Corrections, Board of Probation and Parole from 1984-2017. During her tenure, Ms. McCarthy served in several supervisory positions which included Regional Administrator for the St. Louis Metropolitan area from 2003-2017. She assisted with the development and implementation of a number of community-based programs focused on assisting individuals diagnosed with substance abuse disorders. Ms. McCarthy currently serves as a consultant for the Institute of Justice Research and Development (IJRD) 5-Key Model for Reentry, a multi-state study on informing the Safe Streets and Second Chances Initiative on re-entry reform. In 2016, Ms. McCarthy was appointed to serve a six-year term as a Non-Alcoholic Trustee for the General Service Board of Alcoholics Anonymous-United States and Canada.

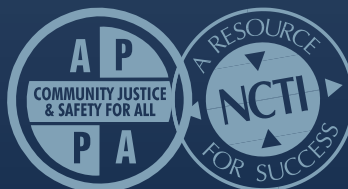
With More than Curricula Alone...



NCTI's Complete Behavior Change System

**gives you a support structure that
makes referring professionals' work easier,
strengthens program fidelity,
and enhances learning by clients.**

NCTI's renowned, evidence-based curricula and the only APPA-accredited facilitator training in the field, comes with a complete system of powerful tools that helps you discover an effective path to Behavior Change. Call today to find out how NCTI can help you.



800.622.1644 | www.NCTI.org | info@NCTI.org

Evidence-Based Curricula & Certification Training from NCTI in Partnership with APPA
National Curriculum & Training Institute®, Inc. | 319 E. McDowell Road, Ste. 200 Phoenix, AZ 85004



PROBATION - PAST, PRESENT, AND FUTURE

**JOE WINKLER, ASSISTANT
SECRETARY OF COMMUNITY
CORRECTIONS**

**FLORIDA DEPARTMENT OF
CORRECTIONS**

EVOLVE AND ADAPT



What would John Augustus think about modern-day probation? Would he be impressed with current supervision strategies? Where would he think probation is heading in the future?

John Augustus, a Boston shoemaker, is often credited with being the “Father of Probation” and is recognized as the first true probation officer (Dressler, 1970).

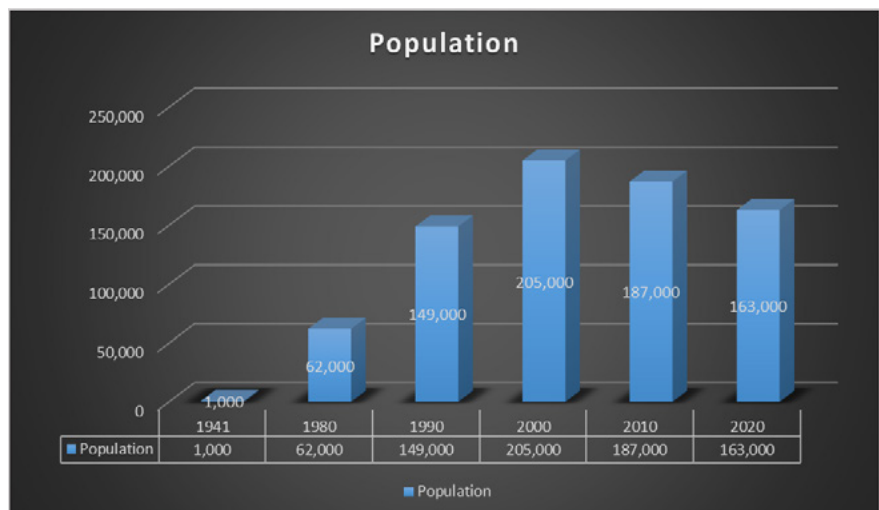
For 18 years Augustus provided supervision and guidance for individuals accused of crimes until they were subsequently sentenced by the court—essentially working as a volunteer probation officer. He believed the object of the law is to reform criminals and prevent crime and that punishment was not the answer (Dressler, 1970). Most individuals helped by Augustus were alcohol abusers or had committed minor offenses but were unable to pay their fines (Taxman, 2012). Augustus assisted these individuals in finding gainful employment and then reported their progress when he was brought before the court during sentencing (Allen, Latessa, & Ponder, 2015).

Augustus is credited with creating three fundamental concepts of probation: the investigation process, supervision, and guidance (intake). Augustus, who kept detailed notes on his activities, was also the first to apply the term “probation” to his method of treating those under his supervision (Moreland, 1941). It is no surprise that Augustus’s home state of Massachusetts was the first to pass a probation statute in 1878. By 1956, all 50 states and the federal government had adopted juvenile and adult probation laws (Petersilia, 1997).

Probation continues to be the best return on investment when dealing with individuals who commit a crime. In answer to the questions at the top of this article, Augustus probably *would* be very impressed with the evolution of probation and where it is heading in the future. Probation officers throughout the country are effectively monitoring individuals under supervision to ensure they are complying with their conditions of supervision. Florida is no exception. In January 2020, Florida had more than 163,000 adults convicted of felonies being supervised in the community. Past practices have been successful, but Florida is working to evolve and further advance supervision techniques by using new and existing technology. To better understand that evolution, let’s look at Probation—the Past, Present, and Future.

Past

In 1941, an amendment to the Florida Constitution created the Florida Parole and Probation Commission. The Commission was given the responsibility of granting parole, supervising probationers and parolees, and providing investigative services to the Courts. The Commission paroled 625 individuals from the state prison system during the first full year of operation. During the same period, the courts placed 335 individuals on probation. By 1980, Florida was supervising approximately 62,000 individuals and in 2000 reached an all-time high of 205,000 people on supervision.



Florida Department of Corrections (FDC) Bureau of Research and Data, 2020

EVOLVE AND ADAPT

Just as the numbers have changed, the general philosophy has changed from correcting behavior to zero tolerance to providing resources to help justice-involved individuals become more productive citizens. No matter the philosophy, probation officers continually rise to the challenge.

In the early years of probation in Florida, emphasis was placed on correcting behavior and creating programs for individuals being released from prison. Non-discretionary programs were designed to provide a seamless re-entry back into the community. In 2004, however, the pendulum swung the other way as a series of events changed Florida's philosophy on supervising people on probation and on reporting non-compliance.

On February 1, 2004, probationer Joseph Smith abducted 11-year-old Carlie Brucia from a car wash near her home in Sarasota, Florida. This kidnapping and murder case attracted an enormous amount of attention after a surveillance video showing Brucia surfaced. The video, taken from a security camera located behind the car wash, showed Brucia being confronted by a man, later identified as Smith, who then grabbed her arm and led her away toward a car. The video was shown nationwide and spurred a massive manhunt for the abductor (Young, 2020). After his arrest, Smith was tried and convicted of 1st Degree Murder, Kidnapping, and Capital Sexual Battery. He was sentenced to death but died in prison (July 2021) before being executed.

Months later, probationer Troy Victorino along with three other men broke into a home in Deltona, Florida, and then bludgeoned six victims to death in the bloodiest mass murder in Volusia County history (Balona, 2006). The four attackers tortured and killed four men, two women, and a dog inside the home during the Deltona Massacre (commonly referred to as the "Xbox Murders").

Victorino, the ringleader of the attack, was on probation when the murder took place. Moreover, he had been arrested days earlier

on a separate assault charge, but when he reported to the probation office after that assault, he was not arrested for probation violation. The probation officer instead decided to let him leave, planning to seek a warrant the following day. This allowed Victorino to remain free in the community and gave him the opportunity to commit the killings (Caldwell & Emmerich, 2004). At the time, state law allowed, but did not require, probation officers to arrest individuals like Victorino for violation of probation in such circumstances.

In response to the Deltona Massacre, the Florida legislature proposed Senate Bill 146, which mandated additional "risk-to-public" hearings for probation violators with violent histories. The bill passed and went into effect upon being approved by the Governor on March 12, 2007. It required the Florida Department of Corrections (FDC) to develop a system for identifying individuals who merited the new designation, "violent felony offenders of special concern." Individuals meeting the criteria cannot be released from jail until a judge determines and makes a written finding as to whether the person is a danger to the community. If determined to be a danger to the community, the violator may have his/her probation revoked and be sentenced up to the statutory maximum or longer, as permitted by law.

Additionally, the FDC implemented a zero-tolerance policy requiring stricter reporting of non-compliance for technical violations. It also became more aggressive in conducting warrantless arrests of those who were a threat to the community or had a history of violence. The number of warrantless arrests quickly increased, as people on supervision were being arrested for minor technical violations, thus clogging the court system and slowly eroding the FDC's reputation.

Then, in 2005, another event occurred that once again garnered national media attention when nine-year-old Jessica Lunsford was abducted from her home in Homosassa, Florida. Immediately after Jessica was determined to be missing, authorities, including probation

EVOLVE AND ADAPT

officers, started searching for her. Within days, John Couey was discovered in Georgia and confessed to abducting, raping, and burying Jessica alive. Couey, a long-time resident of Homosassa, had an extensive criminal record that included dozens of arrests for burglary and a previous conviction for a child sex offense. Due to the laws at the time, Couey received only short sentences and was not monitored after release, despite his record of being a prolific trespasser and his repeated sexual offenses against children (Bell, 2007).

Jessica Lunsford Act (2005), which took effect September 1, 2005. This Act modified practices by requiring:

- the sentencing authority to order mandatory electronic monitoring for certain sex offenders;
- the development of a graduated risk assessment system to monitor sex offenders placed on supervision;
- information to be provided on the Florida Department of Law Enforcement's Criminal Justice Intranet; and
- the FDC to have fingerprint reading equipment in each probation office.

The impact has been significant, as the number of individuals who are statutorily required to be placed on electronic monitoring has increased from 747 in 2005 to 5,525 in 2020.

Numerous other states passed legislation similar to the Jessica Lunsford Act. It must always be recognized that high profile cases such as those discussed above will amplify

calls for zero tolerance and legislation that puts stringent safeguards in place. At the same time, they spur on probation officers and other criminal justice professionals to do their part to increase public safety and to continue in the quest to learn about and follow best practices and achieve better and better safety statistics.

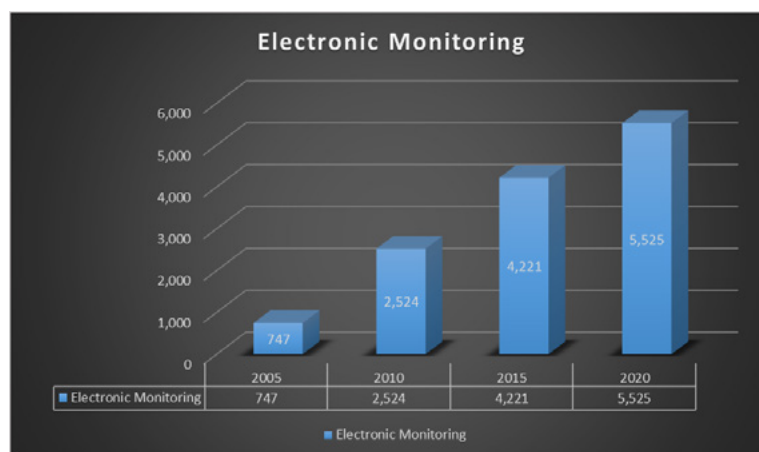
Present

While the role of a probation officer may have changed over the years, the overall mission of ensuring safety for the public remains the same. Current practices require probation officers to wear many hats. The ability of officers to change hats can be vital to the success of individuals under supervision.

If probation officers in Florida were asked to spend five minutes writing down the role of a probation officer, the majority will agree that protecting the public is at the top of the list. The answer is easy and is consistent with the Mission Statement of the FDC's Office of Community Corrections ("Community Corrections") and with mission statements of other probation agencies throughout the country. The answer gets more complicated when you ask probation officers how they protect the public. In Florida, probation officers provide such protection using four techniques:

monitoring and enforcing conditions of supervision; providing tools and resources to help individuals not only successfully complete supervision, but to become more productive citizens; using

incentive programs when appropriate; and using discretion when reporting minor technical violations.



FDC Bureau of Research and Data, 2020

EVOLVE AND ADAPT

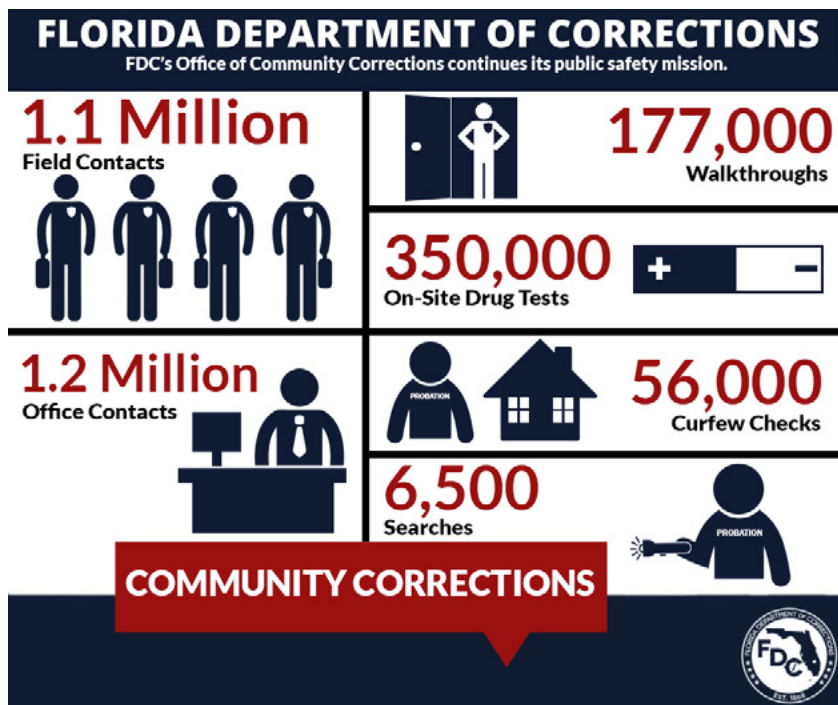
public is monitoring and enforcing conditions of supervision then reporting on willful non-compliance in a manner determined most appropriate by the probation officer and supervisor. Florida probation officers do just that, as each year they conduct numerous contacts with individuals under supervision. Every contact is important and is one more opportunity in ensuring the individual is complying with terms of supervision.

then located multiple firearms, over one pound of methamphetamine, three grams of heroin, one milliliter of fentanyl, 12 grams of cocaine, and four grams of marijuana. The individual was subsequently arrested on multiple charges including violation of probation. In a press release, Citrus County Sheriff Mike Prendergast stated that the fentanyl found was enough to kill over a thousand people. Additionally, he stated it was the biggest methamphetamine bust in Citrus County history and that if it were not for probation officers it may have never happened (Citrus County Sheriff's Office, 2019a)

Three months later, the same office was at it again. During a residential search, probation officers located a small quantity of narcotics, felt something wasn't right, and contacted the Citrus County Sheriff's Department to obtain assistance. A search warrant was signed, and the search resumed. Officers were able to locate 167 grams of methamphetamine, 100 grams of cocaine, 1,000 prescription narcotic pills, 60 ecstasy pills, and 34 pounds of marijuana. Once again, the individual was arrested on multiple charges including violation of probation. In a press release, Citrus

County Sheriff Mike Prendergast stated it was the biggest drug bust in Citrus County history and that illegal drugs with a street value of over \$970,000 were seized (Citrus County Sheriff's Office, 2019b).

Another recent example of Florida probation officers protecting the public occurred in July 2020 when officers from the Titusville Office became suspicious of the actions of an individual during a warrantless planned search of his residence. They initially found this man sitting on a couch eating a hamburger meal out of a take-out restaurant box. The probation officers began their search, each taking a different area of the home, and one officer saw a half-eaten hamburger in the same type of take-



FDC Bureau of Research and Data, 2020

Almost every week an example of protecting the public is presented from the field. Recent examples should make every probation officer in the country proud.

Condition Compliance

In March 2019, probation officers from the Inverness Probation Office conducted a warrantless planned search at the residence of an individual on supervision. During the search, probation officers located a small amount of marijuana in the residence. Feeling something wasn't right, the officers contacted the Citrus County Sheriff's Department for assistance with the search. A search warrant was signed, and the search resumed. Officers

EVOLVE AND ADAPT

out box lying on the bed. That officer then heard a noise coming from the closet in the room she was searching and found an underage child hiding there. The adult on the sofa, who had been designated a “sexual predator,” was then arrested for violation of conditional release.

Protecting the public also includes protecting those who are under supervision. Recently, a Florida probation officer conducted a home visit to ensure compliance with supervision and as a result was able to perform actions that potentially saved the individual’s life. Specifically, in April 2020 a probation officer from the Ft. Myers Probation Office went to the home of someone on supervision and was informed by the mother that this individual had become unresponsive in a locked bathroom. The officer made entry into the bathroom and found the individual unconscious on the floor. She also observed a syringe, pill, and spoon. Telling the mother to call 911, the officer began performing cardiopulmonary resuscitation. By the time Emergency Medical Services responded, the probation officer had revived the individual .

Providing Resources

Florida probation officers protect the public by providing resources to those on their caseloads to help them not only successfully complete supervision but also to become more productive citizens. Many who are under supervision have been released from prison or jail and need assistance with employment or educational/vocational referrals, housing, transportation, identification or driver licenses, health services, food, clothing, or counseling. Funding issues often make providing such assistance a challenge, but Florida probation officers can provide direct help, make referrals, and use internal and external resources as options to provide assistance. Resource fairs, including job fairs, sometimes are valuable options in this regard.

Evidence-based research suggests one of the key factors contributing to the success of those under supervision is employment. Since

having a job helps with successful reintegration into society, providing employment assistance is very beneficial to public safety. Each Judicial Circuit in Florida routinely hosts resource fairs to assist those on supervision, aided by partnerships with local stakeholders in each county and by employment specialists whose primary role is to assist individuals in finding gainful employment. By having employers gathered in one place, job seekers can quickly learn about companies and openings in a variety of industries, and employers can make face-to-face contact with potential employees. This opportunity to meet in person is especially valuable, as job seekers may otherwise be screened out by negative information on an application. Those attending job fairs also get a better sense of the kinds of jobs available and the skills required to get them.

Again, obtaining and maintaining employment is an important tool in an individual’s toolbox that leads to success. Routine reviews of cases where individuals have terminated supervision in Florida have shown some impressive results in this area, as many are employed at the time of termination. The continuing efforts by Florida’s probation officers to help with employment as well providing other resources to those under supervision are part of their own toolbox.

Incentives for Individuals on Supervision

As required by section 20.315, Florida Statutes, Community Corrections is charged with providing “... appropriate supervision for offenders released on community supervision based on public safety risks and offender needs, and, in conjunction with the judiciary, public safety agencies, and local communities, develop safe, community-based alternatives...” Determining the nature of “appropriate supervision” is complicated. During the past decade, studies related to successful supervision strategies have shown that application of evidence-based practices (EBP) has resulted

EVOLVE AND ADAPT

in reduced recidivism, greater likelihood of successful completion of community supervision, fewer prison commitments, and, most importantly, reduced victimization (Viglione, 2016)—and using EBP to streamline operations for optimal efficiency also aids in meeting budget demands. The increase in empirical knowledge about what works has provided an impetus for strengthening supervision strategies that focus on the utilization of technology and implementation of programs and processes that have been proven to produce desired outcomes. For example, evidence shows it is counterproductive to “over supervise” low-risk individuals and excessively pursue violations of supervision (Viglione, 2016).

In part to avoid such situations, Community Corrections has developed incentive programs to use where deemed appropriate. The Interactive Offender Tracking System (IOTS) is a reduced level of reporting for certain low risk/needs individuals on probation and pre-trial supervision which holds them accountable for compliance with supervision conditions with minimal oversight. The IOTS program has been an available supervision option since June 2019. The program utilizes a telephone reporting system (which includes voice biometrics to identify the individual making the report) coupled with a web-based management system that assists officers with caseload management. The essence of the IOTS program is to help people succeed—with removal of as many barriers to success as possible—while at the same time allowing officers to spend more time and resources on higher risk individuals. The IOTS program has a positive impact on both the individuals on supervision and the officers and establishes a strong foundation for creating safer communities.

Another successful incentive program targets individuals sentenced to community control. Community control is a form of intensive, supervised custody in the community, including surveillance on weekends and holidays. It is an individualized program where the freedom of an individual is restricted within the community,

home, or non-institutional residential placement, and specific sanctions are imposed and enforced. Individuals on community control are required to submit a weekly accounting of their activities. They can only leave their residence for employment, treatment, self-improvement classes, public service work, religious expression, or personal needs. The success rate for community control supervision is about 28%, far below the statewide average of 60% for all supervision types (FDC Bureau of Research and Data, 2020)

To follow EBP, the Merit-Based Activity Program was developed for individuals on community control. This incentive program allows those who have successfully completed a rehabilitation program to attend pre-approved activities at the discretion of the supervising officer. It encourages and motivates the offender to comply with orders of supervision and accept responsibility for change. Over 1,163 individuals have participated in the program since it started in 2017. Each month, FDC’s Bureau of Research and Data provides status updates on offenders participating in the program. Approximately 75% of the offenders who have participated have successfully completed supervision, well above the 28% success rate for offenders who have not met the criteria to participate (FDC Bureau of Research and Data, 2020).

Reduction of Revocations and Admissions for Technical Violations

Like other states, Florida has experienced a long period of increased criminal justice system costs, primarily due to enhanced penalties and sentencing practices which have resulted in increased prison populations. Probation violators contribute to this increase. For the past few years, extensive research has been devoted to this nationwide dilemma to determine how to end this revolving door and how to get the best results by reducing recidivism and changing behavior.

Community Corrections in Florida is incorporating EBP into supervision strategies to

EVOLVE AND ADAPT

enhance services and produce positive outcomes. The first step was to give officers discretion when reporting willful non-compliance and technical violations to the sentencing or releasing authority. Community Corrections worked on developing the Alternative Sanctions Program (ASP), which has proven to be very beneficial when reporting minor technical violations.

The provisions of the ASP were issued via judicial administrative order in 2018. It provides the court with an administrative way of handling specified technical violations for certain individuals convicted of non-violent offenses without the formal violation hearing process. Since its inception, over 5,700 individuals have participated in the program, thus diverting them from the normal court process and reducing the number of individuals revoked for a technical violation by over 2,000 a year.

Technology

Changes in technology are inevitable in our everyday lives. Technology allows probation officers to be more efficient and focus more time on higher risk individuals. Community Corrections recently started a pilot project that allows officers to scan an individual's electronic monitoring equipment through an app on their cell phone. When the equipment is scanned, officers have options to select a type of contact and the officer has the capability of entering case notes through the app. In the future, Community Corrections hopes to expand this technology to all individuals on supervision, not just those on electronic monitoring.

Scanning technology is also a feature of another initiative being worked on in Florida. This will allow probation officers to scan a driver's license or identification card when

they contact an individual under supervision. In turn, the contact type, location, and time will be sent to the FDC's database, which will eliminate the need for probation officers to enter case notes manually.

Enhancing Communication with Individuals on Supervision

One of the questions asked by new recruits is how they will know what strategy is most effective when supervising the diverse offender population. Florida, like most states, uses a validated risk system tool.

Individuals are monitored and supervised at a level commensurate with the danger or risk they pose to the community.

As new recruits become seasoned officers, they will discover that most individuals under supervision can be broken down into three groupings beyond those defined by the risk tool. The first category consists of a very small group. These individuals have been incarcerated or under supervision several times. They are reluctant about supervision and/or do

Offenders Revoked For Technical Violations and Sent to Prison



FDC Bureau of Research and Data, 2020

Future

Looking into the "Community Corrections Crystal Ball," one can anticipate many advancements that will continue to move our field forward. These advancements would probably even impress the great visionary John Augustus. As we turn the page to 2021, Florida is focusing on three primary areas: technology, enhancing communication with the population under supervision, and reducing the office footprint.

EVOLVE AND ADAPT

not have confidence in the probation system. Because they do not have a will to succeed, their chances of succeeding are very low. At the other extreme are those on probation for the first time. They see probation as an opportunity to right a wrong. Their will to succeed is great, so their chances of succeeding are very high. Both these groups are very small, which leaves a big group in the middle. This group needs access to the tools and resources provided through supervision. The opportunities provided by their probation officers can greatly impact their chances of succeeding.

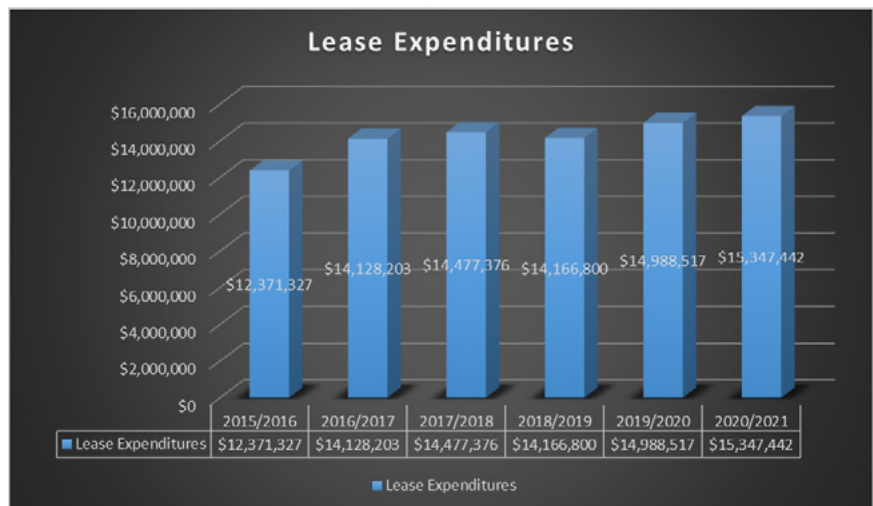
As Florida moves forward, focusing resources on the middle group is quite important. One approach involves increased utilization of video conferencing. By taking full advantage of video conferencing capabilities, probation officers can maintain more frequent communication with those on their caseloads.

Additionally, Florida is attempting to reduce the overcrowding of jails by looking at ways to reduce non-compliance technical violations and assist individuals with reporting to their probation officers. One initiative includes purchasing a mobile bus to serve various community locations, thereby facilitating supervision visits by allowing people to report at this mobile site as opposed to traveling to a probation office. The bus will be outfitted with the necessary equipment to conduct mission-critical activities with those under supervision. Designated community reporting sites will be established near areas where there is a dense population of people under supervision. All designated sites will be county-owned properties with public facilities, ample parking, central locations, and provisions for officer safety. A lobby staging area will be arranged for screening purposes prior to entry onto the bus.

Reducing Office Footprint

Florida has over 140 probation offices statewide. The functions of these offices create some unique challenges in locating suitable and affordable buildings to lease. Local zoning laws and the unwillingness of landlords to lease to the FDC because of the population it serves both limit potential leasing opportunities, thus creating less competition to aid in lowering lease costs. Building owners often charge a higher rental rate to offset any potential vacancies caused by our tenancy. Additionally, many leases contain rental rate escalations to cover increases the Lessor may incur in maintaining a full-service agreement.

As leases approach expiration, the FDC solicits bids in a competitive solicitation process. However, the cost of doing business continues to go up. Lease expenditures have increased by over 20% in the last six years.



FDC Budget Office, 2020

To combat the rising lease costs and reduce expenditure, the FDC has implemented different strategies. In markets where multiple locations are present, offices have been consolidated. The adoption of field office workstations and telework programs has also enabled a reduction in office size. However, these practices have not been enough to prevent the lease cost deficit caused by the significant increase in the rental rates.

EVOLVE AND ADAPT

As a result, the FDC created a workgroup that has prepared a consistent probation office “footprint” that is more affordable to landlords while also providing a good working environment for probation officers. That footprint includes having drug testing rooms located near front entry areas, having interview rooms to conduct office contacts with individuals on supervision, reducing the square footage of offices to 60 square feet, and having ratio sizes for conference rooms, lobbies, restrooms, etc.

A statewide Telework Procedure was created to greatly expand the number of employees permitted to participate in the Telework Program. We also learned the importance of using alternate schedules and how they can directly assist in reducing the footprint of staff at an office.

As we move forward, Florida will use footprint office plans when procuring lease space. A paradigm shift will need to take place for staff to get away from the feeling they need an actual office to be anchored to the workplace. Traditional 100-120 square foot offices often have wasted space and are prone to having additional square footage that collects dust and clutter. Therefore, the use of shared interview rooms for mission-critical visits along with smaller shared workspaces with docking stations for staff to use will be beneficial. Making these changes will reduce lease costs, promote teleworking, increase officer presence in the community, and allow for more individuals to participate in programs that do not require monthly reporting to the probation office.

Conclusion

In 1841, John Augustus decided he was going to be a pioneer and not follow the marked path. He created his own path, and for almost 200 years now probation officers, individuals, and members of the community have benefited.

The “Father of Probation” would probably be very impressed with modern-day probation in

Florida, as the role of today’s skilled probation officers has become multifaceted. Their primary role is to ensure public safety, accomplished by monitoring conditions of supervision and by providing resources to help those under supervision to both successfully complete their terms of supervision and become more productive citizens. They use incentive programs when appropriate, and they report minor technical violations using alternate methods.

Modern-day probation supervision strategies have been successful, as Community Corrections has proven to be a viable alternative to incarceration. With a cost of just over \$6.00 per day, compared to the average cost per day of about \$66.00 to house an inmate in a state facility, it is also more cost effective to supervise an individual in the community. Approximately 60% of individuals successfully complete supervision, and approximately 90% of those who are successful on supervision will not return to FDC custody in prison or supervision within three years (FDC Bureau of Research and Data, 2020).

As we move into the future, Community Corrections will continue to use creative techniques to propel our field forward. Those techniques will center around using technology, enhancing incentive programs, and expanding the role of the probation officers and make them a stronger presence in the community. The continued shift towards enhanced supervision in the community may not only change our role, but it may also change our title. After all, we may be called probation officers, but the reality is we are community corrections professionals.

EVOLVE AND ADAPT

References

- Allen, H. E., Latessa, E. J., & Ponder, B. S. (2015). *Corrections in America: An introduction (14th ed.)*. Upper Saddle River, NJ: Prentice Hall.
- Anonymous. (2019, October 16) "Florida Corrections Centuries of Progress." DCWebdcweb/history.pdf.
- Balona, P.G. (2006, July 14). Prosecutor works around key witness's refusal to testify." *News-Journalonline.com*. <https://web.archive.org/web/20061118154252/http://www.news-journalonline.com/special/deltonadeaths/frtHEAD01071406.htm>.
- Bell, M. (2007, March 2). Jury hears horrors of Jessica Lunsford's death." *Orlando Sentinel*. www.orlandosentinel.com/news/os-xpm-2007-03-02-mjessica02-story.html.
- Caldwell, A.A., & Emmerich, L. (2004, August 9). 4 arrested in Deltona killings. *South Florida Sun Sentinel*. www.sun-sentinel.com/news/fl-xpm-2004-08-09-0408090166-story.html.
- Citrus County Sheriff's Office. (2019a, March 11) "Domestic Battery Investigation Leads to Largest Meth Bust in CCSO History." CCSO. *Press Release*.
- Citrus County Sheriff's Office. (2019b, June 18). "Partners Against Crime." CCSO. *Press Release*.
- Dressler, D. (1970). *Practice and Theory of Probation and Parole*. New York, NY: Columbia University Press.
- Florida Department of Corrections Bureau of Research and Data, 2020.
- Jessica Lunsford Act, Florida House Journal 01168, Chapter No 2005-28 (Reg. Sess. 2005).
- Moreland, D.W. (1941). *Pioneers in probation: John Augustus and his successors*. Boston University School of Social Work. <https://open.bu.edu/handle/2144/6226>
- Petersilia, J. (1997). Probation in the United States. *Crime and Justice: A Review of the Research*. 22, 149-200 <https://doi.org/10.1086/449262>
- Taxman, F. S. (2012). Probation, intermediate sanctions, and community-based corrections. In J. Petersilia & K. R. Reitz (Eds.), *The Oxford Handbook of Sentencing and Corrections* (pp. 363-385). New York, NY: Oxford University Press.
- Viglione, J. E. (2016). *Bridging the research/practice gap: Street-level decision making and historical influences related to use of evidence-based practices in adult probation*. (Doctoral dissertation, George Mason University). Retrieved from <https://www.ojp.gov/pdffiles1/nij/grants/250424.pdf>
- Young, M. (2020, February 2). A girl was murdered in Sarasota 16 years ago. This is how her cousin wants you to honor her." *Bradenton Herald*. www.bradenton.com/news/local/article239834938.html.

Author Bio:

Joe Winkler is the Assistant Secretary of Community Corrections at the Florida Department of Corrections. Mr. Winkler started with the department in 2001 as a probation officer. He has served the department in multiple roles holding every certified position and being promoted to his current position as the top person in Florida Community Corrections. Mr. Winkler provides oversight to 140 probation offices statewide and provides direction and guidance to correctional staff supervising 150,000 adult felony offenders.

He serves on the Board of Directors with the Florida Association of Community Corrections and is the Florida Commissioner of Interstate Compact.



AMERICAN PROBATION AND
PAROLE ASSOCIATION



January 30 - February 2, 2022

JOIN US **VIRTUALLY OR IN-PERSON!**

REGISTER NOW ►

WHAT ABOUT US? CORRECTIONAL STAFF HEALTH AND WELLNESS

MAUREEN BUELL, CORRECTIONAL
PROGRAM SPECIALIST

NATIONAL INSTITUTE OF
CORRECTIONS



EVOLVE AND ADAPT

Note: The vast majority of interviews of correctional practitioners noted below represent correctional membership organizations as well as federal, state, and local corrections agencies and were conducted prior to the unfolding of the COVID-19 pandemic. As we strategize around how to care for ourselves and our family, friends, communities, and co-workers as well as for the population whose safety and security we are charged to manage, the pandemic has grabbed the attention of those who may have previously perceived the topic of correctional staff health and wellness as having little or no relevance to them. We are living through a significant turning point in correctional practice. As stated by Stephanie Rawlings, the Health and Wellness Coordinator for the Illinois Department of Corrections, "From day one, health and wellness of staff has to become the fabric of correctional practice. We need to find ways to address the worries, stress, tension this brings and recognize the value of good mental health and the importance of staff care."

After I delivered a training program to staff working in a correctional facility a few years ago, a participant said, "This has been a great week. I'm bringing back information that will help me in my work, but what about us?" Those three words, "what about us," started me on a journey. While those in our field work to increase their effectiveness and professionalism, at the same time this work takes a cumulative toll on staff. How do we address this issue? I set out to discover examples of health and wellness initiatives being undertaken across the country, and the good news is that attention to the health and well-being of staff is gaining traction. What follows is a brief snapshot of some of those efforts.

Understanding the Issue

Stress is pervasive throughout corrections; it is insidious and cumulative and occurs in community supervision settings as well as in jails and prisons. Stress creeps up on us in subtle ways and manifests in various forms. It affects our performance in the workplace, interactions with the populations we manage, and relationships with our peers. It also can sneak into our home lives. Dr. Caterina Spinaris of Desert Waters Correctional Outreach coined the term "corrections fatigue," which she describes as:

...the gradual and progressive wear-and-tear of body, soul and spirit of staff as they repeatedly experience high stress workplace events of various types during the course of their careers. Corrections Fatigue affects individuals, teams, and eventually even the entire workforce culture of corrections institutions and offices (Spinaris, 2016, para 3).

Another common term to describe the cumulative effects of stress over time is burnout, identified by the World Health Organization (WHO) as an occupational phenomenon and described as "a syndrome conceptualized as resulting from chronic workplace stress that has not been successfully managed." a feeling of depleted energy, mental distancing/ negativity regarding one's job, and reduced efficacy (WHO, 2019, para 5). Until recently, burnout was an "everything but the kitchen sink" descriptor for job-related stress. We now know much more about the effects of stress on the corrections profession and have language that better describes its acute and chronic effects (Finney, Stergiopoulos, Hensel, Bonato, & Dewa, 2013; Rhineberger-Dunn, Mack, & Baker, 2017). Vicarious trauma, secondary trauma, complex trauma, and compassion fatigue, while having distinct definitions, are often used interchangeably to describe the negative effects of the profession on staff (Rhineberger-Dunn, Mack, & Baker, 2016). The "corrections fatigue" term, which is less clinical and arguably more user friendly, has resonated strongly in corrections and has been widely adopted to describe the effect over time of performing such work (Spinaris, 2016).

We enter this profession for various individual reasons. Perhaps we viewed this career as an opportunity to serve, or perhaps it was just a means of getting a steady paycheck or was a line of work that we "fell" into. Regardless, it is often the case that at the beginning we have only a vague notion of what the work entails, leaving

EVOLVE AND ADAPT

us generally unprepared for the cumulative effect that “wear and tear,” if not attended to, can have on us personally. The corrections profession is human nature on display, with light and humorous moments contrasted with other experiences that are more chilling and harder to shake at the end of the day.

Safety Concerns

Safety concerns can add to stress. Many of us work with men and women who have done unspeakable things to other human beings as well as with those who present minimal risk to public safety. Earlier in my career, I, like many in this profession, received threatening phone calls, witnessed gruesome crime scenes, was physically and verbally assaulted and stalked, and had safety equipment that wasn’t fully functional. I’m grateful for my safety training and good instincts that got me through those experiences. When I did report those experiences to supervisors and management, they acknowledged them yet seemed to feel that such incidents are to be expected and are just part of the job. Thinking back, I believe that I, as a female corrections professional, tended to downplay those events myself, hesitating to call attention to them because that might further the perception that “women aren’t up to the task.” I suspect that viewpoint, still present in pockets of the profession today, contributes to additional wear and tear on the soul for several female corrections professionals.

Demands of a Complicated Job

Most corrections agencies, in addition to advancing safety and security, are evolving to incorporate research, information, and new processes and tools into day-to-day practices to reduce recidivism and improve outcomes for the populations we manage. This has required staff to expand their role from promoting practices that demand compliance to incorporating practices aimed at “emphasizing behavior

change by providing robust opportunities for and rewarding progress” (Executive Session on Community Corrections, 2017, p 3). Additionally, forward-thinking correctional organizations are developing policies that incorporate data-driven or research-based programs and practices, using validated measures to assess for risks and needs, enhancing motivation, focusing on interventions with higher risk populations, working with community partners, and measuring the effectiveness of interventions in day-to-day operations. This has added significant responsibilities to correctional staff workloads and expanded the skill set required to do the work well. Such increased demands are not always easy to shoulder.

In a survey done for the National Institute of Corrections (Lewis & Lewis, 2019), respondents noted that significant sources of stress for frontline staff and supervisors were increasing workloads, tight timelines, understaffing, communication challenges with subordinates and/or superiors, difficulty with colleagues, the physical environment, and mandatory overtime. Nonetheless, the focus of standard correctional operations primarily remains on physical safety and security of both the correctional population and staff rather than on the emotional toll it can take on the staff to implement all these new initiatives.

Through research such as the Adverse Childhood Experiences (ACE) study, we know that individuals who experienced or witnessed violent events in their youth or grew up in environments with the presence of chronic substance abuse, mental health issues, and/or various forms of parental separation have an increased likelihood of challenges in adulthood linked to chronic health conditions, mental health, or substance abuse issues without some form of intervention (Felitti et al., 1998). Not surprisingly, within correctional populations, trauma and the presence of ACE

factors are elevated, contributing to justice involvement (Herrenkohl, Jung, Kim, & Lee, 2017). Correctional staff, particularly those within community corrections settings, manage enormous caseloads and interact with victims and survivors of crime, employing soft skills such as active listening, building rapport, non-verbal communication, compassion, and empathy while maintaining the security focus. Over time, just as with first responders in the health care industry, correctional staff can become vulnerable to compassion fatigue, “an extreme state of tension and preoccupation with the suffering of those being helped to the degree that it can create a secondary traumatic stress for the helper” which if not addressed, can result in neglecting their own self-care (Figley, n.d.). Nonetheless, we carry out our prescribed duties, go home at the end of the day, and must “jump back in” the next day.

Balance, Resilience, and Stress

By building individual resilience, we can often diminish the effects of compassion fatigue. To begin with, developing a personal and professional balance is critical. Those working in this profession can be close knit, and we tend to socialize with like-minded peers. While this may be a source of support, it makes it difficult to have a clean break between work and a healthy and fulfilling life. McCann and Pearlman (1990) reflect on the importance of life balance and encourage seeking out activities that are unrelated to your particular profession. A number of activities can be done in the moment, with little or no cost, that will provide breathing space (Klinoff, Van Hasselt, Black, Masias, & Couwels, 2018). For me, time with friends, plenty of laughter, and year-round activities that put me outdoors are critical—and, of course, a little of what I refer to as my personal canine therapy always works wonders. Connecting with friends and neighbors and simply being outdoors on my daily evening dog walks can

be a perfect antidote to the day’s stresses.

A number of years ago, I was introduced to *The Upside of Stress: Why Stress Is Good for You and How to Get Good at It* by Kelly McGonigal (2015). In her book McGonigal states that stress, while generally unwanted, can also help us engage with challenges and perform better in trying situations. It’s a thoughtful read and one of my “go-to options” when things seem to be piling up.

In short, there are both short-term and long-term stressors in the corrections work environment that can have a serious impact and merit a serious response. What are some of the ways in which correctional practitioners, organizations, and agencies are taking on this challenge and trying to improve staff health and wellness?

Approaches to Staff Wellness in Correctional Organizations

The correctional organizations noted below serve a broad array of correctional professionals ranging from practitioners to executive level staff and from those working in institutions to those in community supervision settings. Common to each organization is the acknowledgement that the corrections profession demands much from staff and can affect both physical and emotional well-being. Highlighted below are some of the ongoing and emerging initiatives offered by the identified organizations.

National Organizations

American Probation and Parole

Association (APPA). With a focus on issues affecting community corrections, APPA is often looked to as a resource for emerging practices in the field, with health and wellness being an important topic to staff and leadership alike.

- APPA has delivered webinars and workshops at its summer and winter conferences, highlighting agencies that

EVOLVE AND ADAPT

have invested in health and wellness initiatives.

- APPA has a standing committee on health and wellness.

American Correctional Association (ACA).

The ACA Staff Wellness Committee was formed in 2015, continues to increase in numbers, and provides services to all members of ACA.

- A highlight of the 2020 winter conference in San Diego was the announcement of a three-year, \$1.5 million grant from the Bureau of Justice Assistance focusing on correctional health and wellness research.
- ACA has been hosting a Wellness Expo at its summer conferences that have been well attended. Prior to cancellation due to COVID-19, the summer 2020 conference was poised to recognize ACA's 150th anniversary with a 5K walk/run and other special health- and wellness-related activities.
- ACA has developed policy and accreditation standards with a wellness component through the leadership of ACA's Office of Correctional Health.
- The ACA Staff Wellness Committee reviews and makes recommendations on conference workshop proposals related to correctional staff health and wellness.

American Jail Association (AJA). In supporting professionals who operate our nation's jails, health and wellness have taken on increasing importance.

- AJA presented a series of correctional staff health and wellness workshops at its 2020 annual conference.

- The May/June 2020 issue of *American Jails*, the AJA membership magazine, focused on correctional health and wellness.

Correctional Leaders Association (CLA, formerly ASCA).

CLA has had a standing committee on wellness and offers a forum for leaders to exchange ideas and gain support for the many challenges that come with running multifaceted and diverse correctional organizations.

- Correctional staffing, part of the wellness conversation, is of foremost concern to executive leadership, with the recognition that much of the traditional thinking about staffing and scheduling should be updated to better address the changing needs of the current and incoming workforce.
- A dedicated webpage for CLA members is in progress. The page will highlight national wellness initiatives, agency policies and procedures, and links to other relevant webpages.

National Institute of Corrections (NIC).

NIC responds to a wide range of training and technical assistance requests from jails, prisons, and community corrections related to staff/organizational health and wellness.

NIC hosts a health and wellness website as well as a forum in which corrections professionals can post questions related to the topic or ask for assistance in locating resources. <https://nicic.gov/health-and-wellness-for-corrections-professionals>

The NIC Information Center carries an array of online subscriptions to professional journals related to the topic of correctional staff and organizational health and wellness. <https://nicic.gov/library-overview>

EVOLVE AND ADAPT

KSL Research, Training, and Consultation, LLC, (<https://www.kslresearch.org>) collaborated with the NIC to conduct a nationwide survey in 2017 of over 3,000 corrections professionals representing institutions and community corrections on causes of correctional workplace stress. The most notable findings were organizational in nature, rather than stress created by working directly with correctional populations.

National Sheriffs' Association (NSA).

NSA has focused on health and wellness for its membership and is planning for the development of webinars and e-learning sessions.

- NSA is undergoing development of a psychological services group to make mental health training available to members.
- Presentations on topics at the NSA annual conference related to health and wellness have been planned.
- A video on officer wellness is being developed.

Federal and State Agencies Many agencies provide access to Employee Assistance Program services, often customizing them to meet the needs of their organization. The agencies contacted conducted external searches to access research and see what was available, both proprietary and in the public domain. Based on their outreach, agencies brought some of those resources into their departments and developed internal initiatives. Below is but a sampling of health and wellness initiatives from a number of agencies across the country.

California Department of Corrections and Rehabilitation (CDCR). California officials developed the following resources for staff:

- An Employee Health and Wellness internet site has been created (<https://www.cdcr.ca.gov/wellness/>) that contains links to a wide range of health- and wellness-related presentations.
- A Health and Well-being Family Resource Guide has been produced that covers a broad range of resources from chaplaincy to physical and emotional health to financial literacy.
- S.A.F.E. (Supportive Assistance for Employees) is a newly developed comprehensive curriculum for staff that provides an overview of the profession, the effect that stress and trauma can have on staff and families, and the impact of critical incidents and the aftermath. It also defines various level of stress, burnout, compassion fatigue, grief, and resiliency and provides resources and exposure to models of wellness.
- CDCR Health and Wellness offerings include current and ongoing programs that range from behavioral health support, a broad array of training and communication initiatives, healthier food and beverage offerings, and physical health classes. Future offerings will include family outreach and domestic violence education and prevention. CDCR is also exploring the feasibility of onsite childcare.

Federal Bureau of Prisons (BOP). The Federal Bureau of Prisons offers employees a variety of resources, including:

- Dedicated Health and Wellness webpages noting resources and activities throughout BOP, including the Central Office.
- Staff fitness centers throughout BOP, including the Central Office.

EVOLVE AND ADAPT

- 2020 Health and Wellness presentations offered through the Behavioral Health Services/Employee Assistance Program.
- Frequent e-mail blasts announcing a variety of activities related to staff health and wellness.

Illinois Department of Corrections

(IDOC). In 2017, IDOC formed an internal Staff Wellness Response Team (SWRT) and conducted an evaluation of current initiatives, resources, staff needs, and gaps. The results determined the need for a formal protocol that would determine health and wellness program structure and standards. The SWRT recognized the link between the implementation of research-based practices, staff morale, and wellness and established a strategic plan with the following features to further the goal of staff health and wellness:

- Internal policy embedded in an administrative directive.
- Extended reach of technology in 2020 to all staff throughout the organization, significantly advancing the agency's health and wellness strategic plan.
- Staff wellness portal at each facility. Currently in development, the first phase of the project is an online tab providing links to publications, self-help tools, and information about local providers that can be accessed at home. Access to the staff wellness portal will be possible via a kiosk installed at each facility. The kiosks will be located adjacent to a Higi station (a free-standing station where staff can check their weight, body mass index, pulse, and blood pressure, which are all important measurements to help detect treatable health conditions).
- Development of a highly trained SWRT for all facilities, with ongoing training provided to team members.

- Expansion of services to staff involved in critical incidents to include peer-led programs staffed by knowledgeable and respected individuals.
- Building and enhancing communication across the IDOC staff and between key stakeholder groups, with incorporation of the family experience into wellness initiatives.

IDOC also recently rolled out a staff wellness podcast that will be a weekly feature from the agency's wellness team.

Nebraska Department of Correctional Services (NDCS).

The agency has developed a number of internal initiatives as well as engaging external resources to build its health and wellness offerings.

- The agency has a current partnership with GALLUP (<https://www.gallup.com/home.aspx>) to create and sustain employee engagement. Results of a recent survey, with responses from a majority of staff, are being analyzed and will be shared with staff with the goal of building a healthier and more effective workplace. Emerging from this process have been opportunities to look for strengths within the organization and explore innovations in scheduling and staffing.
- SERVES (Staff Empowerment & Resiliency/Victim Education & Support) provides staff and their families experiencing the effects of corrections fatigue with peer-to-peer support and referrals to community resources. SERVE team members go through a rigorous selection and training process. They receive monthly training and are available at each institution, now extending to community corrections.
- As part of peer support, NDCS has made cards available to staff that provide five

EVOLVE AND ADAPT

action steps to follow if they believe a peer is suicidal. The card includes the National Suicide Prevention Hotline number. An additional document provides more detail and information for each step.

- NDCS has provided staff information on grounding techniques that can be applied in the present during times of stress and anxiety.
- Administrative regulations have been developed that address Critical Incident Stress Management.
- NDCS has partnered with Desert Waters Correctional Outreach (DWCO) for services and distributes the eZine, *Correctional OASIS*, throughout the organization.

North Dakota Department of Corrections and Rehabilitation (NDDCR).

Drawing from the Substance Abuse and Mental Health Services Administration/GAINS (SAMHSA/GAINS) Trauma-Informed Justice System Health and Wellness Initiative, NDDCR incorporated elements into its strategic plan that will inform policy, core correctional practices, professional development, and increase internal agency capacity in promoting agency health and wellness. The following programs are examples of the plan in action:

- NDDCR has extended use of a CIRT (Crisis Intervention Response Team) for use across the agency. By expanding this team, staff are being provided confidential opportunities to discuss their thoughts and feelings about critical events affecting the work environment.
- The agency has contracted with psychologists familiar with the correctional environment and known to staff to provide additional support.
- Learning Passport is a multi-phased staff development process that incorporates

wellness with a goal to reduce turnover. The model incorporates training, partnering with Field Training Officers (FTO), On-the-Job Training (OJT) and mentoring, and it reaches beyond correctional officer basics to help staff develop leadership skills and enhance opportunities for promotion.

- NDDCR plans to launch an initiative of learning components to build and strengthen internal capacity with health and wellness initiatives focused on new staff and recently promoted supervisors.
- Recent partnerships with two universities were used to assess the correctional experience of applicants for correctional jobs and provide credits for work experience that can be applied toward the promotion process. It is ideal for staff who may not have had the opportunity to pursue additional education.

Oregon Department of Corrections (ODOC).

The Oregon DOC has long been a leader in implementing health and wellness initiatives for staff through extensive national and international outreach, ongoing partnerships with universities, and incorporating work-life balance best practices. They have built an agency infrastructure around health and wellness, developing and disseminating resources to address the challenges experienced by staff in their daily roles. Some recent highlights include:

- Manager toolkits for engaging staff about personal wellness (Note: The resources are not yet final; however, there is a goal to train 100 managers on their use once they are complete). The toolkits are being developed in partnership with the agency's three health insurance providers.
- Mindfulness and emotional intelligence training delivered to over 700 staff along with development of powerful videos depicting positive program effects on work

EVOLVE AND ADAPT

and home life to encourage further staff engagement.

Development of The Oregon Way—a culture change strategy that prioritizes employee health as the means to improving outcomes for incarcerated people. OR DOC partnered with the AMEND program (<https://amend.us/>), drawing upon AMEND’s mission to transform correctional culture and reduce the debilitating health effects of prisons and jails. AMEND developed a Resource Team Model in two Oregon facility Behavioral Health Units that offers new ways of operating that are yielding documented improvements to staff work and home lives.

Integrating trauma-informed care and staff wellness training by coupling SAMHSA’s Trauma Training for Criminal Justice Professionals with easy-to-incorporate personal stress regulation and communication skills to support staff with their own primary and secondary trauma exposure. (All DOC staff will be trained by end of 2021.)

In process is a 10-month diabetes prevention/ intervention effort between OR DOC, the public employee benefit board, and health care carriers.

Pennsylvania Department of Corrections (PA DOC). PA DOC embraced staff health and wellness with a robust and multifaceted approach to supporting staff and strengthening the agency. An emphasis on “soft skills” such as communication and building trust has been key to their efforts.

- Dr. Christian Conte, a nationally known Level 5 anger management specialist, developed an enhanced communication program Yield Theory which is being delivered to correctional professionals via a trainer program at the PA DOC training academy. Results show improved interactions at state correctional institutions where this has been implemented.
- Outreach and engagement with Desert

Waters Correctional Outreach and Christian Conte, who developed the Yield Theory Anger Management Program.

- Critical Incident Stress Management (CISM) teams provide internal onsite peer and psychological support to staff during critical incidents, e.g., inmate/ staff suicide and various staff losses. A day-long staff retreat to incorporate practices to regenerate and rejuvenate was provided to support this team with the goal of future offerings. The PA DOC is pursuing the addition of comfort dogs that can be assigned to CISM teams, and in furtherance of this goal it will work with K9 First Responders, a national organization that will provide training and guidance to key staff at no cost. Also, crowdsourcing campaigns to raise funds for those in need are always promoted and supported when staff experience tragic losses.
- Corrections Outreach for Veterans and Employee Restoration and the Parole Outreach for Wellness and Employee Restoration (COVER/POWER) joint peer support initiative was established out of the wellness committee. A steering committee has been developed to support this initiative, providing guidance and resources with the goal of replicating best practices agencywide.
- PA DOC has implemented many staff-submitted ideas through successful BetaGov randomized controlled trials (RCT) which measure the effect of the idea in order to justify expenditures and replication agencywide. Measuring is key to support all initiatives for the PA DOC. BetaGov is housed at New York University and is a grant-funded organization providing RCTs at no cost.
- A number of internal wellness BetaGov RCTs occurred that examine use of

EVOLVE AND ADAPT

standing desks, anti-fatigue mats, and virtual reality (VR) for seriously mentally ill inmates. The VR for seriously mentally ill inmates showed a reduction in anxiety, an outcome that has led to a larger scale trial. Anecdotally, staff experienced a calmer unit as the participating inmates worked to improve their behavior so they would be able to experience the weekly adventure VR—beach or car racing. Wellness worked with an institution to develop research-based changes to the officer dining room. BetaGov will provide data based upon staff input.

South Carolina Department of Corrections (SCDC). As part of its commitment to a healthy work force, the SCDC has invested in support for staff through a Critical Incident Stress Management (CISM) Program.

- New state funding in 2017 provided resources for the program, including three full-time employee positions.
- The program provides direct services for staff who have been assaulted or have otherwise experienced trauma at work or in their personal lives. It is also providing support to address the cumulative effects of working in corrections over time.
- The program relies on a network of peers certified in the International Critical Incident Stress Foundation model. Peers have continued to expand throughout all levels of the agency, with representation across staff levels and positions, as well as through all operating shifts.
- SCDC has added a specially trained trauma dog to the CISM team that can recognize stress, anxiety, and trauma, and provides support to relieve stress and other anxiety-related issues.
- In 2018, SCDC began offering Post-Critical Incident Seminar (PCIS) events

dedicated to correctional employees who are experiencing PTSD, anxiety, depression or other ongoing trauma-related issues. These events are part of a national research project studying PCIS on law enforcement and correctional employees.

- The SCDC implemented a policy in 2019 making the CISM Program “official.”
- SCDC facilitated a “Warden’s Retreat” in 2020 that was essentially a PCIS dedicated to fit their unique needs and intended to build resiliency and address ongoing trauma/stress related to working in corrections.

U.S. Probation Office – Middle District of North Carolina (USPO MDNC). The United States Probation Office for the Middle District of North Carolina is a public agency within the federal judiciary providing community supervision functions for approximately two dozen counties within middle North Carolina.

The district adopted The Eight Dimensions of Wellness (emotional, financial, social, spiritual, occupational, physical, intellectual and environmental), a comprehensive and proactive health and wellness model developed by Peggy Swarbrick at Rutgers University, as the foundation of its health and wellness initiative. From the Eight Dimensions, the district identified three elements (education, self-care/peer support, and the more traditional crisis intervention) and used that as a model to organize the initiatives listed below:

- Education - The agency offers workshops/events quarterly on each of the topics covered under the umbrella of the Eight Dimensions of Wellness.

Self-Care and Peer Support - The agency contracted to have the stress first aid (SFA) (<https://www.everyonegoeshome.com/training/behavioral-health-training/stress-first-aid-sfa-firefighters-emergency-services-personnel/>)

EVOLVE AND ADAPT

model translated to probation officer work. Originally developed by the Department of Defense for Marines, SFA was adapted for use with law enforcement and firefighters. The agency has held a Training of Trainers workshop and is now preparing to offer this again. SFA staff have also been resources for peers who have had experiences that triggered feelings of extreme stress.

Critical Incident Stress Management and SFA are crisis management tools and are part of the agency's initiative regarding staff health and wellness.

The district is interested in developing a variety of measures to determine what is best to use in developing community corrections health and wellness initiatives. In addition, it is working toward a national Training for Trainers in the SFA probation model.

Conclusion

The interviews, research, and reading that contributed to this article demonstrate the prioritization being given to correctional staff health and wellness across the country, yet this was a very small snapshot of what is available. Groundbreaking work is being done across the nation on addressing the needs of correctional staff. It was quite moving to hear agency representatives provide examples of tragic events that had affected their staff and to gain insight into the culture of various agencies and the ways they struggled to support staff while still attending to the responsibilities of managing a correctional organization. Common themes included a strong need to reach out and learn from each other as well as a desire on the part of agencies to share what they have learned, developed, and implemented. Improving staff health and wellness is a significant undertaking—and there is no one right way to carry this out. However, the return on investment for our staff, their families, our agencies, and our communities certainly makes such efforts worthwhile.

Disclaimer: Points of view or opinions stated in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice.

References

- Executive Session on Community Corrections. (2017). *Toward an approach to community corrections for the 21st century: Consensus document of the Executive Session on Community Corrections*. Program in Criminal Justice Policy and Management, Harvard Kennedy School. https://www.hks.harvard.edu/sites/default/files/centers/wiener/programs/pcj/files/Consensus_Final2.pdf
- Felitti, V. J., Anda, R. F., Nordenberg, D., Edwards, V., Koss, M. P., & Marks, J. S. (1998). Relationship of childhood abuse and household dysfunction to many of the leading causes of death in adults; The adverse childhood experiences (ACE) study. *American Journal of Preventive Medicine*, 14(4), 245-258.
- Figley, C. (n.d.), The Compassion Fatigue Awareness Project. Tulane Traumatology Institution, Tulane University, New Orleans, LA. www.compassionfatigue.org
- Finney, C., Stergiopoulos, E., Hensel, J., Bonato, S., & Dewa, C. S. (2013). Organizational stressors associated with job stress and burnout in correctional officers: a systematic review. *BMC public health*, 13(1), 1-13.
- Herrenkohl, T., Jung, H., Kim, M. H., & Lee, J. O. (2017). Effects of child maltreatment, cumulative victimization experiences, and proximal life stress on adult crime and antisocial behavior. National Institute of Justice. Retrieved from: <https://nij.ojp.gov/topics/articles/pathways-between-child-maltreatment-and-adult-criminal-involvement>

- Klinoff, V. A., Van Hasselt, V. B., Black, R. A., Masias, E. V., & Couwels, J. (2018). The assessment of resilience and burnout in correctional officers. *Criminal Justice and Behavior*, 45(8), 1213-1233.
- Lewis, K. & Lewis, L. (2019). *Corrections stress needs assessment; Final summary report*. National Institute of Corrections. https://www.researchgate.net/publication/331940299_DATA_SUMMARY_NIC
- McCann, I. L. and Pearlman, L. A. 1990. Vicarious traumatization: A framework understanding the psychological effects of working with victims. *Journal of Traumatic Stress*, 3, 131-149
- McGonigal, K., (2015). *The Upside of Stress: Why Stress is Good for You and How to Get Good at It*. New York, NY: Penguin Random House.
- Rhineberger-Dunn, G., Mack, K. Y., & Baker, K. M. (2016). Secondary trauma among community corrections staff: An exploratory study. *Journal of Offender Rehabilitation*, 55(5), 293-307.
- Rhineberger-Dunn, G., Mack, K. Y., & Baker, K. M. (2017). Comparing demographic factors, background characteristics, and workplace perceptions as predictors of burnout among community corrections officers. *Criminal Justice and Behavior*, 44(2), 205-225.
- Spinaris, C., (2016). Corrections fatigue & corrections fulfillment: In a nutshell. *Correctional Oasis*, 13(6), 1-3. Retrieved from: https://www.acoa.us/wp-content/uploads/2016/07/Corr_Oasis_6.2016.pdf
- World Health Organization (2019, May 28). *Burn-out an “occupational phenomenon”*: *International Classification of Diseases* [Departmental news release]. Retrieved from: <https://www.who.int/news/item/28-05-2019-burn-out-an-occupational-phenomenon-international-classification-of-diseases>

Author Bio:

Maureen Buell most recently was a Correctional Program Specialist with the National Institute of Corrections, managing NIC’s Justice-Involved Women’s initiative and a compassion fatigue and secondary trauma initiative. She has provided training and technical assistance nationally to federal, state, local, and community corrections agencies and various organizations. Prior to NIC, Ms. Buell served as a probation and parole officer, casework supervisor, manager of a community-based sex offender supervision and treatment unit, and regional program services manager. She assisted in the design and placement of a community residential program as well as design and program planning of a women’s prison.

LGBTQ YOUTHS' RESPONSIVITY NEEDS UNDER THE RISK-NEED- RESPONSIVITY MODEL

BY ERIN (KATHERINE) EPIFANIO



Lesbian, gay, bisexual, transgender, and queer/questioning (LGBTQ) youth have a disproportionately high rate of contact with the United States' juvenile justice and criminal justice systems. LGBTQ youth also experience disproportionately negative justice outcomes in comparison to their peers. Youth who identify as LGBTQ experience higher rates of expulsion from school, arrest, and conviction than youth who do not identify as LGBTQ (Center for American Progress [CAP], Movement Advancement Project, & Youth First, 2017).

LGBTQ youth are also overrepresented among youth that are under the supervision of either the juvenile justice system or the criminal justice system. While LGBTQ youth make up less 10% of the youth population at large, they represent at least 13% of justice-involved youth (Development Services Group, 2014). Surveys of incarcerated youth find that as much as 20% of the incarcerated juvenile population identifies as "LGBT or gender non-conforming" (CAP et al., 2017, p. 3).

The population of LGBTQ youth is growing. According to the Centers for Disease Control and Prevention (as cited in Murez, 2021), 8.3% of 15- to 17-year-olds identified as LGBTQ in 2015. By 2019, that figure rose to 11.7% (Murez, 2021). There are now an estimated two million youth who identify as lesbian, gay, bisexual, or transgender in the United States alone (Conron, 2020). With more youth identifying as LGBTQ every day, correctional practitioners must recognize how these youths' identities tie into their experiences with justice institutions. To that end, this paper contextualizes youth identity and justice experiences within the framework of the Risk-Need-Responsivity (RNR) model of correctional assessment and treatment.

The "responsivity" component of the RNR model is of special interest here. The responsivity principle outlines how individuals can reap maximum gains from correctional

rehabilitation. Responsivity or stabilization needs include those factors that impact individuals' commitment to rehabilitation (Marlowe, 2018). While responsivity needs do not *cause* crime, this paper clarifies how responsivity needs make LGBTQ youth vulnerable to disproportionate and recurrent contact with justice institutions.

The RNR Model in Juvenile Justice Literature

The Risk-Need-Responsivity (RNR) model advocates for a risk- and need-centric approach to recidivism reduction. The first core principle of the model, risk, specifically suggests that the intensity of recidivism reduction programming should align with clients' risk of reoffending (Bonta & Andrews, 2007). The need and responsivity principles, on the other hand, highlight where services should be targeted and how service delivery should occur.

Criminogenic needs or changeable factors that raise individuals' risk of recidivism are the main concern of the RNR model. According to the need and responsivity principles of the model, correctional services should target criminogenic needs using a delivery approach that maximizes participants' capacity for participation in rehabilitation (Andrews, 2012). Moreover, correctional services should only target non-criminogenic needs before criminogenic needs when the former would interfere with treatment of the latter (Marlowe, 2018). Per the above, non-criminogenic needs that hamper clients' commitment to rehabilitation are known as responsivity or stabilization needs.

Research on the RNR model has largely tested the applications of the above principles with adult correctional clients (Brogan, Haney-Caron, NeMoyer, & DeMatteo, 2015). However, there is evidence to suggest that the model has enduring relevance in youth-oriented correctional settings. For example, Lipsey's 2009 meta-analysis of recidivism reduction programs

EVOLVE AND ADAPT

for justice-involved youth validates the risk principle for use in juvenile rehabilitation. In his analysis of 548 study samples involving program participants between the ages of 12 and 21, Lipsey found that programs' target population, therapeutic foundation, and integrity related to their overall efficacy. Therapeutically oriented programs that targeted youth at high risk of recidivism reduced recidivism by 10-13% on average. Additionally, some individual programs reduced recidivism by up to 26% (Lipsey, 2009). For the referenced programs, participants' overall risk of recidivism predicted the direction of programs' recidivism reduction effects.

Earlier research by Dowden and Andrews (1999) provides similar support for use of the need principle with juvenile offenders. Although this Dowden and Andrews meta-analysis of 134 studies is more than two decades old, it provides some of the most "convincing evidence" (Oudekerk & Reppuci, 2012, p. 205) available on the subject. Dowden and Andrews found that programs which focused on criminogenic needs reduced recidivism by 22% on average, while programs that did not target criminogenic needs failed to consistently reduce recidivism. Programs that included an element of general responsivity, or an appropriate therapeutic focus, also had a much higher (24%) recidivism reduction effect than programs that did not (4%) (Dowden & Andrews, 1999). Collectively, these findings suggest that RNR-aligned juvenile rehabilitation programs have a greater impact on juvenile recidivism than programs that do not incorporate the risk, need, and responsivity principles.

Several more recent studies have explored the relevance of responsivity to juveniles in greater depth. As touched on above, the responsivity component of the RNR model details the importance of maximizing offenders' engagement with rehabilitative programming through use of offender-responsive treatment strategies (Bonta & Andrews, 2007). Additionally, it also emphasizes

the importance of working with individuals' strengths and addressing factors that affect their participation in rehabilitation. Once again, these factors represent offenders' responsivity or stabilization needs.

In their study on the relationship between mental health and recidivism among juvenile offenders, McCormick, Peterson-Badali, and Skilling (2017) identified mental health variables such as anxiety-related symptoms or traumatic histories as potential responsivity factors. McCormick et al. studied 232 youth under community supervision and found no direct relationship between mental health needs and recidivism, implying that such needs are not explicitly criminogenic. However, their study did find that participants who received treatment for both their mental health needs and their criminogenic needs reoffended at much lower rates (41.7%) compared to participants who did not receive both treatments (76.9%). These findings suggest that parallel treatment of responsivity needs, and criminogenic needs promotes improved treatment outcomes.

Vitopoulos, Peterson-Badali, Brown, & Skilling (2019) revisited the relationships between mental health, criminogenic needs, and responsivity needs among juvenile offenders in their review of pre-sentencing mental health assessments. The authors analyzed the assessment results of 100 13- to 19-year-olds, examined their experiences with childhood maltreatment, and clarified how those experiences related to recidivism within the sample population. Childhood maltreatment was associated with high criminogenic need scores and thus a higher risk of recidivism. However, post-traumatic stress symptoms—which the authors describe as being linked to maltreatment—did not predict recidivism. According to Vitopoulos et al., these findings imply that experiential disturbances like childhood maltreatment could shape youths' criminogenic and responsivity needs.

A Closer Look at LGBTQ Youths' Experiences

LGBTQ youth experience uniquely high rates of childhood maltreatment in comparison to their peers (Balsam, Lehavot, Beadnell, & Circo, 2010). In some cases, such maltreatment plays out in the home, with parents or caregivers instigating the maltreatment. Maltreatment can take any number of forms, including child neglect, emotional abuse, physical abuse, and sexual abuse. Abusers may explicitly target LGBTQ children based on their identities or self-expression. Surveys of LGBTQ adults have found that 50.2% of surveyed men and 60.8% of surveyed women report experiencing—at minimum—emotional abuse in childhood (Balsam et al., 2010).

LGBTQ youth are also disproportionately vulnerable to maltreatment outside of the home. In educational settings, the majority of LGBTQ youth regularly experience verbal harassment based on their sexual orientation or gender identity. Unfortunately, 25% of LGB students and 55% of transgender students also report experiencing physical assault based on the same factors (Gay, Lesbian, & Straight Education Network [GLSEN], as cited in Oregon Judicial Department, 2013). An even larger proportion of transgender students (74%) report experiencing sexual harassment related to their identities. According to GLSEN (as cited in Oregon Judicial Department, 2013) some in-school harassment is instigated by school staff rather than students.

Abuse, harassment, and general maltreatment have significant consequences for LGBTQ youth. Domestic abuse of LGBTQ youth sometimes culminates with parental or familial rejection of the LGBTQ family member, and many LGBTQ youth who experience rejection are ultimately forced out of their homes by their parents or caregivers. A number of LGBTQ youth also choose to leave their homes in order to escape chronic familial abuse. Consequently,

LGBTQ youth are vastly overrepresented among the homeless population. In fact, up to 40% of homeless or runaway youth may identify as LGBTQ (Woods, 2018).

Although some LGBTQ youth transition into the child welfare system after being ejected or removed from their homes, child welfare placements do not always secure their safety or well-being. Abuse and discrimination arise with some frequency within foster families, adoptive families, and emergency shelters, just as they do within many of the LGBTQ youths' biological families (Woods, 2018). As such, child welfare placements can also end in rejection and homelessness for LGBTQ youth.

Harassment, discrimination, and abuse also impact LGBTQ youths' welfare in educational settings. In the face of peer or staff maltreatment, youths' grades and attendance suffer. Some LGBTQ youth choose to fight their peers to defend themselves from chronic harassment, and others commit truancy because of such harassment. According to GLSEN, approximately 28% of LGBTQ youth ultimately drop out of school to escape peer maltreatment (Oregon Judicial Department, 2013).

Frequent exposure to maltreatment can take a profound toll on LGBTQ youths' mental health. Scannapieco, Painter, and Blau (2018) state that maltreatment and rejection make LGBTQ youth more likely to experience depression, engage in substance abuse, or commit suicide in childhood or adolescence. In adulthood, individuals who identify as LGBTQ may exhibit mental health symptoms associated with childhood maltreatment. These symptoms notably include post-traumatic stress and anxiety symptoms, which Vitopoulos et al. (2019) describe as responsivity factors (Balsam et al., 2010). These symptoms represent one of many prospective consequences of childhood mistreatment.

Outcomes for Justice-Involved Youth

It has been well established that discrimination and maltreatment also increase LGBTQ youths' vulnerability to contact with justice institutions in several ways. Maltreatment at home or in state care contributes to homelessness across the LGBTQ youth population (Woods, 2018). To survive homelessness, some LGBTQ youth engage in nonviolent "survival crimes," such as prostitution or theft. These youth are disproportionately criminalized because of their circumstances (CAP et al., 2017).

Maltreatment-related truancy also factors into the criminalization of LGBTQ youth. Because a significant proportion of LGBTQ youth engage in truancy to escape maltreatment, these youth are at high risk of arrest for status offenses (CAP et al., 2017). Naturally, youth who choose physical conflict over truancy are not less vulnerable to arrest than chronic truants; rather, they may simply find themselves in court for a different reason.

In the context of the RNR model, the crux of the problem is this: contact with justice institutions does little to address LGBTQ youths' specific needs, be they criminogenic or otherwise. In fact, contact with justice institutions can reinforce barriers to LGBTQ youths' rehabilitation. LGBTQ youth often face further maltreatment while under correctional supervision, including physical and sexual abuse. According to CAP et al. (2017), incarcerated LGBTQ youth experience youth-on-youth sexual violence *ten times* more often than their heterosexual counterparts. Additionally, LGBTQ youth also experience a disproportionate amount of staff-instigated abuse. To illustrate, approximately 15% of lesbian, gay, or bisexual youth report experiencing sexual contact with correctional staff, compared to 4.6% of heterosexual youth (CAP et al., 2017).

The above experiences can promote profoundly negative mental health outcomes among LGBTQ youth. So, too, can isolation or solitary confinement, which some penal

institutions use to "protect" LGBTQ youth from the general population (CAP et al., 2017). Upon release from correctional supervision, LGBTQ youth are rarely better off. In the absence of adequate familial or community support, many LGBTQ youth are simply released back into homelessness. Thus, the cycle of vulnerability continues, with LGBTQ youth going on to experience disproportionate and recurrent contact with justice institutions into adulthood.

Responsivity in Context

Under the RNR model, rehabilitation means giving individuals prosocial alternatives to recidivism through conscientious treatment of factors associated with recidivism. However, individuals' responsivity or stabilization needs can act as barriers to their acceptance of such alternatives. As Marlowe points out, "criminal justice professionals are likely to have a very difficult time addressing a participant's antisocial attitudes or delinquent peer interactions if he or she is living on the street, suffering from a severe mental illness" (2018, para. 10), and the same applies to those struggling with other preeminent social service needs.

Discrimination and maltreatment create real barriers to the long-term rehabilitation of LGBTQ youth. Such maltreatment has adverse and enduring effects on their mental health (Vitopoulos et al. 2019). Moreover, maltreatment also imposes deprivation upon LGBTQ youth. Specifically, maltreatment contributes to deprivation of safe housing, social support systems, clinical care, and more. In effect, maltreatment isolates LGBTQ youth from reliable and safe communities.

Social safety nets are altogether less reliable for LGBTQ youth than they are for heterosexual and cisgender youth. Without access to alternative housing, income, or care options, some youths lack the resources to desist from crime. While the correctional community cannot provide LGBTQ youth with such resources over the long term, the community has the power to limit youth involvement with justice institutions by addressing their needs in correctional settings.

Recommendations

To mitigate the involvement of LGBTQ youths with justice institutions, it is necessary to recognize that homelessness and other responsivity needs hamper their desistance from criminal behavior. As such, these needs should factor into case management and planning for LGBTQ youth. This article is not a comprehensive guide to case management or to the applications of the RNR model in LGBTQ youth rehabilitation. However, the research compiled within this article shows some paths that community practitioners can take to improve justice outcomes for this population. More specifically, this research points to a need for:

- Further research on LGBTQ youths' specific treatment needs. More information is needed to determine whether modern, RNR-aligned case management tools capture the experiences of LGBTQ youth and how case management should evolve to meet their needs.
- Investigation of LGBTQ-friendly assessment and case management tools. Per the above, it is unclear whether LGBTQ youths' needs can be fully captured by traditional assessments.
- Research and training on the needs of LGBTQ youths in the context of community supervision. As this article discusses, LGBTQ youths' needs are not always met by traditional community support systems.
- Cultural competency and anti-discrimination training pertaining to LGBTQ youth at all stages of justice involvement. Such training combats the stigmatization of special correctional populations, including the LGBTQ youth population, within the juvenile justice and criminal justice systems (CAP et al., 2017).
- Direct consultation with LGBTQ youth about their "needs and safety concerns" (CAP et al., 2017, p. 8) in the process of securing correctional or community placement.
- Youth-oriented education on LGBTQ youths' rights under correctional supervision (CAP et al., 2017). Both consultation and education empower youth to advocate for their needs under correctional supervision.
- Community programming that aligns with transgender or gender-non-conforming youths' gender identity rather than their assigned sex. Gender-specific programming supports youths' physical and psychological well-being.

LGBTQ youths' overrepresentation in the juvenile justice system is reflective of a broader problem. These youth are subject to systemic maltreatment within familial, educational, and social institutions, and that maltreatment increases their vulnerability to contact with justice institutions. Chronic maltreatment disengages youth from prosocial behavior and communities. The recommendations provided above support LGBTQ youths' engagement with healthy support systems and thereby the parallel treatment of their responsivity and criminogenic needs.

References

- Andrews, D. A. (2012). The Risk-Need-Responsivity (RNR) model of correctional assessment and treatment. In J. A. Dvoskin, J. L. Skeem, R. W. Novaco, & K. S. Douglas (Eds.), *Using social science to reduce violent offending* (pp. 127-156). Oxford University Press.
- Balsam, K. F., Lehavot, K., Beadnell, B., & Circo, E. (2010). Childhood abuse and mental health indicators among ethnically diverse lesbian, gay, and bisexual adults. *Journal of consulting and clinical psychology, 78*(4), 459-468. <https://doi.org/10.1037/a0018661>
- Bonta, J., & Andrews, D. A. (2007). *Risk-Need-Responsivity model for offender assessment and rehabilitation*. Public Safety Canada. <https://www.courtinnovation.org/sites/default/files/documents/RNRModelForOffenderAssessmentAndRehabilitation.pdf>
- Brogan, L., Haney-Caron, E., NeMoyer, A., & DeMatteo, D. (2015). Applying the Risk-Needs-Responsivity (RNR) model to juvenile justice. *Criminal Justice Review, 40*(3), 277-302. <https://doi.org/10.1177/0734016814567312>
- Center for American Progress, Movement Advancement Project, & Youth First. (2017). *Unjust: LGBTQ youth incarcerated in the juvenile justice system*. <https://www.lgbtmap.org/file/lgbtq-incarcerated-youth.pdf>

EVOLVE AND ADAPT

- Conron, K. J. (2020). *LGBT youth population in the United States*. UCLA School of Law Williams Institute. <https://williamsinstitute.law.ucla.edu/publications/lgbt-youth-pop-us/>
- Development Services Group. (2014). *LGBTQ youths in the juvenile justice system*. Office of Juvenile Justice and Delinquency Prevention. <https://www.ojjdp.gov/mpg/litreviews/lgbtqyouthsinthejuvenilejusticesystem.pdf>
- Dowden, C., & Andrews, D. A. (1999). What works in young offender treatment: A meta-analysis. *Forum on Corrections Research*, 11(2), 21–24.
- Lipsey, M. (2009). The primary factors that characterize effective interventions with juvenile offenders: A meta-analytic overview. *Victims & Offenders*, 4(2), 124–147. <https://doi-org.saintleo.idm.oclc.org/10.1080/15564880802612573>
- Marlowe, D. B. (2018, July 17). *The most carefully studied, yet least understood, terms in the criminal justice lexicon: Risk, need, and responsivity*. Policy Research Associates. <https://www.prainc.com/risk-need-responsivity/>
- McCormick, S., Peterson-Badali, M., & Skilling, T. A. (2017). The role of mental health and specific responsivity in juvenile justice rehabilitation. *Law and Human Behavior*, 41(1), 55–67. <https://doi-org.saintleo.idm.oclc.org/10.1037/lhb0000228>
- Murez, C. (2021, June 15). *Big rise in U.S. teens identifying as gay, bisexual*. U.S. News. <https://www.usnews.com/news/health-news/articles/2021-06-15/big-rise-in-us-teens-identifying-as-gay-bisexual>
- Oregon Judicial Department. (2013). *LGBT youth facts/statistics*. <https://www.courts.oregon.gov/programs/crb/training/Training%20Center/W11.YouthRiskFactorsHO.pdf>
- Oudekerk, B. A., & Reppucci, N. D. (2012). Reducing recidivism and violence among offending youth. In J. A. Dvoskin, J. L. Skeem, R. W. Novaco, & K. S. Douglas (Eds.), *Using social science to reduce violent offending* (pp. 199–221). Oxford University Press.
- Scannapieco, M., Painter, K. R., & Blau, G. (2018). A comparison of LGBTQ youth and heterosexual youth in the child welfare system: Mental health and substance abuse occurrence and outcomes. *Children & Youth Services Review*, 91, 39–46. <https://doi-org.saintleo.idm.oclc.org/10.1016/j.childyouth.2018.05.016>
- Vitopoulos, N. A., Peterson-Badali, M., Brown, S., & Skilling, T. A. (2019). The relationship between trauma, recidivism risk, and reoffending in male and female juvenile offenders. *Journal of Child & Adolescent Trauma*, 12(3), 351–364. <https://doi-org.saintleo.idm.oclc.org/10.1007/s40653-018-0238-4>
- Woods, J. B. (2018). Unaccompanied youth and private-public order failures. *Iowa Law Review*, 103(4), 1639–1709.

Author Bio:

Erin (Katherine) Epifanio is a doctoral student in Saint Leo University's Doctor of Criminal Justice program. Before starting the doctoral program, the author served in the Corporation for National and Community Service's (CNCS) FEMA Corps and AmeriCorps VISTA programs. Epifanio recently developed and taught a course on resilience in public safety for Mary Baldwin University's undergraduate criminal justice program. Upon completion of graduate work, the author plans to pursue further research on mental health among public safety practitioners. Erin can be reached at katherine.epifanio@email.saintleo.edu.

Connecting Top Employers with Premiere Professionals!



CAREER CENTER

The **APPA Career Center** provides all the functionality and reach of contemporary job boards while specifically focusing on the Community Corrections industry.

Employers

PLACE your job in front of qualified professionals.

SEARCH our Resume Bank using robust filters to narrow your candidate search.

UTILIZE our job posting and Job Flash™ email packages to earn greater visibility.

Bonus for those with Agency or Corporate APPA Membership!*

RECEIVE discounted rates on job posting packages!

STAND-OUT as your job is tagged "Member Company"!

*To receive these member benefits,
login with your company's primary APPA contact email.

Professionals

UPLOAD your resume and lead employers to you.

SEARCH and apply to top industry jobs that value you.

RECEIVE Job Alerts whenever a job matches your criteria.

ACCESS career resources, job searching tips, and tools.

Bonus for those with Individual APPA Membership!*

ENJOY early access to Job Postings and Email Listings!

STAND-OUT as your resume is tagged "APPA Member"!

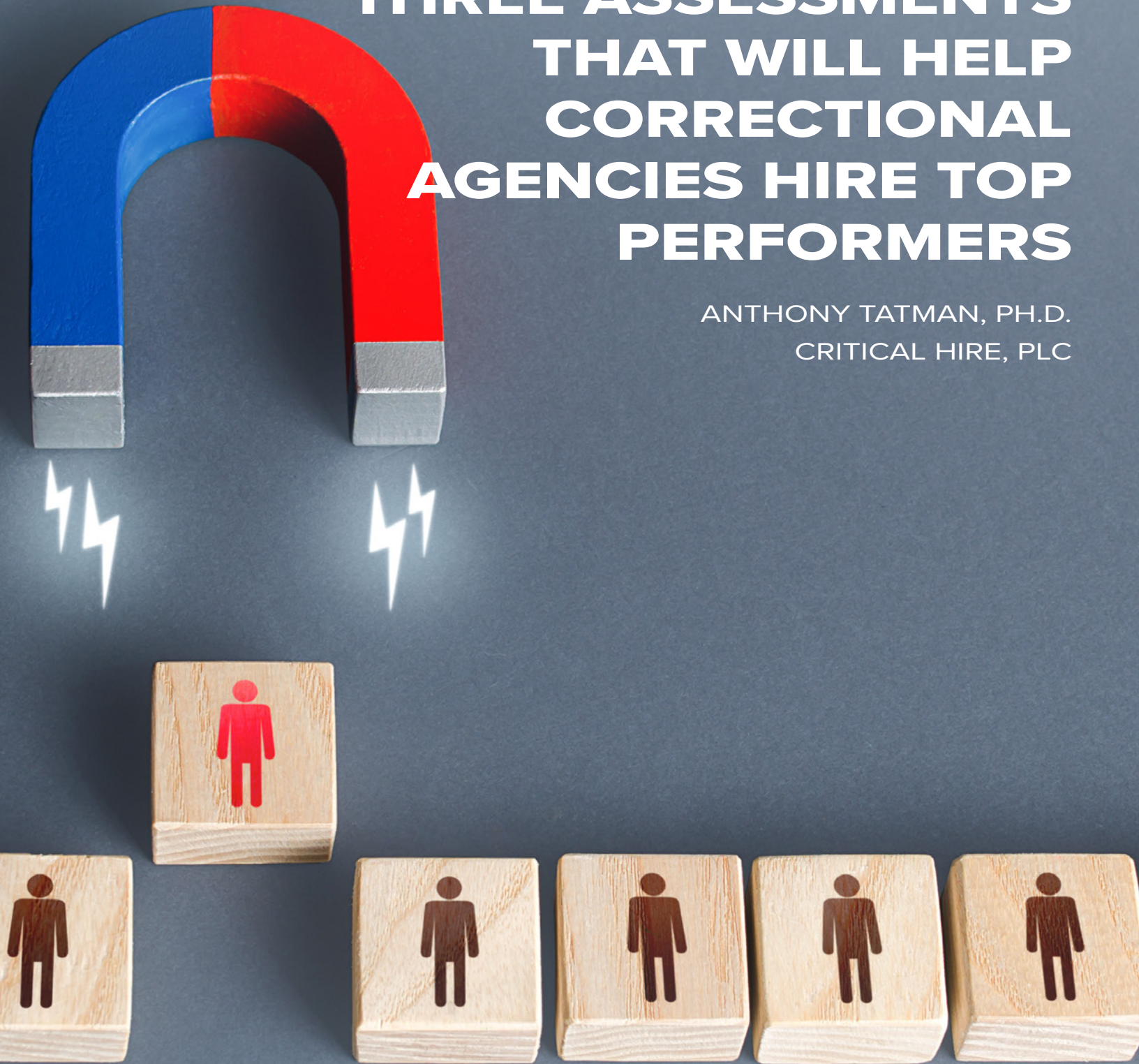
*To receive these member benefits,
login with your APPA email.

<https://careers.appa-net.org>

Make us a regular step in your hiring process!

THREE ASSESSMENTS THAT WILL HELP CORRECTIONAL AGENCIES HIRE TOP PERFORMERS

ANTHONY TATMAN, PH.D.
CRITICAL HIRE, PLC



EVOLVE AND ADAPT

In regard to the financial impact alone, the U.S. Department of Labor estimates that replacing a poor performer can cost 30% of that employee's potential first-year earnings (Fatemi, 2016). With the average annual salary for probation and correctional officers ranging between \$43,540 and \$56,630 (Bureau of Labor Statistics, 2018), the cost to replace a poor performer could fall between \$13,062 and \$16,989 for each officer. These amounts, however, could dramatically increase with added direct costs such as legal fees and settlement costs or indirect costs such as the lost productivity, strained morale, and fractured public trust often associated with turnover and terminations. Hiring poor performers can be quite costly on many levels.

Fortunately for correctional agencies, a variety of pre-employment testing tools that significantly predict problematic workplace behaviors have been developed and carefully studied, resulting in an extensive body of research literature. Use of these empirically validated tools could increase the hiring agency's chances of finding top performers. This article will discuss three unique types of pre-employment testing tools that will be greatly beneficial to correctional agencies during the hiring process.

Assessment 1 - Integrity

Pre-employment tests of integrity are one of the most widely used types of tests for predicting future workplace problems (Fine, Horowitz, Weigler, & Basis, 2010). This widespread use is due to their relative ease of use and the amount of empirical research strongly supporting their efficacy. Research has found integrity tests to be valid predictors of a variety of workplace problems such as theft, tardiness, property damage, rule-breaking, violence, and absenteeism (Nicol & Paunonen, 2002; Ones, Viswesvaran, & Schmidt, 1993; Ones, Viswesvaran, & Schmidt, 2003). Integrity tests have also repeatedly been identified as being highly accurate in predicting future job performance (Berry, Sackett & Wiemann, 2007; Fine, 2013; Jones, Cunningham, & Dages, 2010; Marcus, Ashton, & Lee, 2013; Schmidt

& Hunter, 1998; Schmidt, Oh, Shaffer, 2016; Tatman, 2020a, 2020b; Tatman & Huss, 2020; Wanek, 1999).

The pre-employment testing field is flooded with tests advertised as being measures of integrity. However, most of these instruments have not been assessed by research published in peer-reviewed journals and, importantly, have not been empirically validated for use with correctional officer applicants. This scientific validation process is important for correctional agencies that want to use pre-employment measures like integrity tests. In 1978, the U.S. Equal Employment Opportunity Commission adopted the Uniform Guidelines on Employee Selection Procedure (UGESP) (1978), which provides guidelines for the proper use of tests and other employee selection procedures. Based on the UGESP, selection procedures such as integrity testing must show empirical evidence for the instrument's or process's validity, reliability, and applicability for correctional officer applicants. This is important for correctional agencies choosing to use pre-employment tests because it says that an instrument used by an agency for employee selection must show empirical evidence that it measures what it is supposed to measure (i.e., validity), is consistent in that measurement (i.e., reliability), and has empirically developed norms specific for correctional officers (i.e., applicability).

Many vendors of integrity tests conduct validation studies by administering tests with a pre-determined group of high performers from the buyer's agency. Vendors would then generate average scale scores, or ranges of scores, based on this optimal employee sample. Future applicants would then be compared against this set of "in-house" norms. Although this method of validation is quite common in the field, it typically has a limitation of having a very small sample size from which to generalize conclusions for the rest of the organization. Concerns should be raised, for example, if future employees are rated and compared with only a few high performers in the agency. For generalizations to have reliability and scientific credibility, they must be generated from an adequate sample size and be representative of the larger organization (i.e.,

EVOLVE AND ADAPT

age, gender, race/ethnicity). Furthermore, for a test to show adequate validity multiple studies or sources are needed, representing a trend of findings as opposed to a single analysis from a single agency (Tippins, Sackett, & Oswald, 2018).

Integrity Test Resources for Correctional Agencies

Based on the UGESP criteria for pre-employment testing, an extensive search for integrity tests with multiple published validation studies, and normative data for correctional officers was conducted. Two integrity tests were found that met these criteria for use in law enforcement and/or correctional settings: The Vangent Reid Public Safety Report (RPSR; Ash, 1971, 1986; Brooks & Arnold, 1989; Cunningham, 1997; Kamp, 1989; Vangent, Inc., 2008) and Critical Hire-Screen (CH-S; Tatman, 2020a; 2020b; Tatman & Huss, 2019; 2020). The RPSR uses over 260 self-admission questions (e.g., Have you taken money from work without permission?) to measure factors such as integrity, conscientiousness, dishonesty, criminal history, substance use, absenteeism, and other problematic work-related behaviors. The CH-S uses 107 questions to measure factors such as work and criminal history, honesty, substance use, theft, problems with authority, personal responsibility, and propensity for rule violations and deception. The CH-S uses both self-admission questions (e.g., How many times have you taken money from your employer?) and core-belief questions (e.g., It is okay to use illegal drugs at work if it doesn't cause safety problems.).

Assessment 2 - Personality

Although your applicants may present well during a 30- to 60-minute interview, what is their true, boots on the ground, "how do you respond when stressed" personality like? They may have sound integrity (Assessment 1) but be cold, distant, aggressive, closed-minded, impulsive, or otherwise present with personality traits that may not mesh well with job demands, their peers, and/or your agency. Tests of personality, particularly personality tests using the Five Factor Model of personality (FFM) (Wiggins, 1996), are highly predictive

of future workplace problems (Barrick, Mount, & Judge, 2001; Behling, 1998; Furnham & Fudge, 2008; Hurtz & Donovan, 2000; Mount & Barrick, 1995; Mount, Barrick, & Stewart, 1998; Oh & Berry, 2009; Oh, Wang, & Mount, 2011; Ones, Dilchert, Viswesvaran, & Judge, 2007; Rothmann & Coetzer, 2003; Salgado, 2002; Tett & Christiansen, 2007; Tett, Jackson, & Rothstein, 1991). The five factors measured in the FFM include Neuroticism, Extraversion, Openness to Experiences, Agreeableness, and Conscientiousness. Traits such as Neuroticism and Conscientiousness are highly predictive across many job settings, while traits such as Agreeableness, Openness, and Extraversion are more job dependent in their predictive ability (Barrick & Mount, 2005; Judge & Ilies, 2002). Salgado's (2003) meta-analysis also found that FFM-consistent inventories significantly outperformed non-FFM based inventories in predicting future job performance, supporting correctional agencies application of FFM-consistent inventories when measuring applicant personality traits.

Personality Test Resources for Correctional Agencies

The NEO Personality Inventory-3 (NEO-PI-3; Costa & McCrae, 2010) is arguably the most well-known and researched personality assessment using the FFM that is available. The NEO-PI-3 provides users with information on five large personality factors and 30 subscales or facets of personality. The Critical Hire-Personality Assessment (CH-PA; Tatman, 2019, 2020c) is another personality measure available to correctional agencies that uses the FFM as its theoretical foundation. The CH-PA provides users with five large scales and 17 subscales of personality. While the NEO PI-3 must involve a psychologist for interpretation, the CH-PA does not require a psychologist to administer. The California Personality Inventory (CPI; Gough & Bradley, 1996) is also a well-known and researched measure of personality used in pre-employment evaluations. Although it does not follow the FFM, it is well respected in the field for providing a valid, reliable, and comprehensive measure of applicant

personality. The CPI has 18 scales of personality and requires a psychologist to administer.

Assessment 3 – Psychological Health

As you have moved along in the above assessment process you have identified applicants who have sound integrity and a personality fitting for the job. However, do they have the mental stability or psychological health needed for the job? Can they handle the pressure and stress of correctional work? Do they have a psychological condition (e.g., Antisocial Personality Disorder, psychotic disorder, or Intermittent Explosive Disorder) that might hinder their ability to perform the essential functions of the job or cause a significant liability if they were hired to work with high-risk individuals on probation or parole or with incarcerated individuals? The application of psychological tests in law enforcement and correctional settings dates to 1917 (Terman et. al., 1917). Subsequent research has been extensive, repeatedly showing adequate reliability and validity for the application of psychological tests with law enforcement and correctional officers (Sellbom, Fischler, Ben-Porath, 2007; Shusman & Inwald, 1991; Shusman, Inwald, Landa, 1984; Simmers, Bowers, Ruiz, 2003; Tarescavage et al., 2015). Currently, over 90% of law enforcement agencies in the U.S. use psychological testing in their hiring process (Roufa, 2019), with some states codifying the use of psychological testing for law enforcement officer applicants. Based on this longstanding use and rich empirical history, correctional agencies would likely find great value in implementing psychological testing into their existing hiring processes. Agencies should take note, however, that courts have ruled that psychological assessment measures used in pre-employment evaluations are medical tests (*Griffin v Steeltex, Inc.*, 1997; *Karraker v Rent-A-Center*, 2003). Therefore, psychological tests must be administered after a conditional offer of employment has been given, making psychological tests the final step in the hiring process.

Psychological Test Resources for Correctional Agencies

Although there are hundreds of personality tests available today, relatively few have met the UGESP's criteria of having empirical evidence on the reliability, validity, and applicability for their use with correctional officer applicants. The Minnesota Multiphasic Personality Inventory-2 (MMPI-2; Butcher, Dahlstrom, Graham, Tellegen, & Kaemmer, 1989), Minnesota Multiphasic Personality Inventory-2-Restructured Format (MMPI-2-RF; Ben-Porath & Tellegen, 2008/2011) and Personality Assessment Inventory (PAI) (Morey, 2007) are three of the most well-known, respected, and researched measures of psychological traits meeting UGESP criteria for law enforcement and correctional applicants. All psychological tests require a psychologist to interpret.

Putting It All Together

Most correctional officer hiring processes involve an initial screening to ensure the applicant meets minimum qualifications (e.g., age and education level), followed by interviews and then criminal and employment background checks. Although interviews are part of the standard hiring protocol and generate valuable information, they have limitations. Have you ever hired a person only to later realize that their attitude, personality, and beliefs were wildly different than what they presented in the interview? Interviews offer a brief snapshot in time of the applicant under controlled conditions. It is natural and expected for applicants to closely monitor the content and context of their responses while in an interview situation. However, this controlled environment does not provide a venue or opportunity for the hiring agency to see true, underlying personality traits and belief systems. Criminal history checks are also a common and valuable step in the hiring process but are also limited in that they can be hard to compile if the applicant lived in multiple states and may or may not shed light on actual criminal behavior. A study from the University of Cincinnati found that, while 64% of small businesses they studied experienced

EVOLVE AND ADAPT

employee theft, only 16% of those businesses reported the incident to police despite the amount stolen averaging \$20,000.00 (Brooks, 2014). Agencies should also remember that criminal background checks only capture charges at a certain level of severity, frequently excluding misdemeanors or “lesser” crimes. Employment background checks are also a staple in the hiring process, but they also have significant limitations for the hiring agency. Most employers will only give an individual’s start and/or end date during an employment reference call and will intentionally leave out any poor or worse job performance due to fear of defamation and/or lawsuits. Including tests of integrity into the hiring process could help hiring agencies measure the applicant’s underlying core beliefs connected with various counterproductive work behaviors such as theft, violence, or illegal drug use that would otherwise go undetected or unnoticed during the hiring process. Personality tests help provide unique information to the process by sharing how the person will likely interact with others around them, approach their work, and fit in with the hiring agency. Lastly, tests of psychological adjustment help answer the final question about their mental stability and degree to which they can emotionally cope with the stressors of correctional work, adding yet another unique component to the hiring process.

Implementation Considerations

When considering what test(s) to integrate into an existing hiring process, accuracy, cost, and convenience are three key factors many agencies initially consider. All the tests provided above have documented accuracy but differ in terms of cost and convenience. For example, the NEO PI-R and CPI require a licensed psychologist to administer, which considerably increases the cost and time needed to complete these assessments. The CH-PA, on the other hand, is administered on-line and has a listed price of \$25 per report, making it relatively easy for hiring agencies to administer at a nominal cost. In addition to questions about cost and convenience, there are a handful of

valuable questions hiring agencies can ask test vendors to ensure they are receiving a product that meets legal requirement, has been evaluated with scientific scrutiny, and meets their professional needs. Below are a few example questions that hiring agencies can ask vendors to better determine what test is right for their needs and purpose.

- If the test is administered online, is the platform HIPPA compliant? If not HIPPA compliant, how does the vendor ensure security of test and applicant information?
- Does the vendor offer in-person consultation regarding the test results?
- Are there peer-reviewed, published articles documenting the tool’s reliability, validity, and predictive accuracy?
- Does the test have any documentation on whether or not it contributes to discrimination based on age, race or gender?
- Has the test ever been challenged in court? If so, what was the result?
- Can this test be administered prior to a conditional offer being made?
- What is the normative sample for this test? What group(s) are the scores based on (e.g., correctional officers, business executives, college students)?

Hiring top performers is difficult, regardless of the profession. Integrating these three tests into an evidenced-based, standardized hiring process could help correctional agencies increase their odds at hiring top-performing correctional officers.

References

- Ash, P. (1971). Screening employment applicants for attitudes toward theft. *Journal of Applied Psychology, 55*(2), 161-164. doi: 10.1037/h0030788
- Ash, P. (1986). Test prediction versus hiring without testing: False positives and false negatives. *Research Memorandum Number 10*. Chicago: Reid Psychological Systems.
- Barrick, M. R., & Mount, M. K. (2005). Yes, personality matters: Moving on to more important matters. *Human Performance, 18*, 359-372. doi: 10.1207/s15327043hup1804_3
- Barrick, M. R., Mount, M. K. & Judge, T. A. (2001). The FFM personality dimensions and job performance: Meta-analysis of meta-analyses. *International Journal of Selection and Assessment, 9*, 9-30. doi: 10.1111/1468-2389.00160
- Behling, O. (1998). Employee selection: Will intelligence and conscientiousness do the job? *Academy of Management Executive, 12*, 77-86. doi: 10.5465/ame.1998.254980
- Ben-Porath, Y. S., & Tellegen, A. (2008/2011). *MMPI-2-RF (Minnesota Multiphasic Personality Inventory-2-Restructured Form): Manual for administration, scoring, and interpretation*. Minneapolis, MN: University of Minnesota Press.
- Berry, C. M., Sackett, P. R., & Wiemann, S. (2007). A review of recent developments in integrity test research. *Personnel Psychology, 60*(2), 271-301. doi: 10.1111/j.1744-6570.2007.00074.x
- Brooks, C. (2014, February 19). Employee theft: Why most small businesses don't report it. *Business News Daily*. Retrieved from <http://www.businessnewsdaily.com/5945-why-small-business-employee-theft-goes-unreported.html>
- Brooks, P. & Arnold, D. (1989). Integrity attitudes as predictors of public safety organizational criteria. *Research Memorandum Number 29*. Chicago: Reid Psychological Systems.
- Bureau of Labor Statistics. (2018). *Occupational Employment Statistics: Occupational Employment and Wages, May 2018*. <https://www.bls.gov/oes/current/oes211092.htm>
- Butcher, J. N., Dahlstrom, W. G., Graham, J. R., Tellegen, A. M., & Kaemmer, B. (1989). *Minnesota Multiphasic Personality Inventory-2 (MMPI-2): Manual for administration and scoring*. Minneapolis: University of Minnesota Press.
- Costa, P. T., Jr., & McCrae, R. R. (2010) *NEO™ Inventories Professional Manual*. Odessa, FL: Psychological Assessment Resources.
- Cunningham, M. R. (1997). The Reid Public Safety Report. *Security Journal, 8*, 151-155.
- Fatemi, F. (2016, September 28). The true cost of a bad hire – It's more than you think. *Forbes*. Retrieve from <https://www.forbes.com/sites/falonfatemi/2016/09/28/the-true-cost-of-a-bad-hire-its-more-than-you-think/#38e97b494aa4>
- Fine, S. (2013). A look at cross-cultural integrity testing in three banks. *Personnel Review, 42*(3), 266-280. doi: 10.1108/00483481311320408
- Fine, S., Horowitz, I., Weigler, H., & Basis, L. (2010). Is good character good enough? The effects of situational variables on the relationship between integrity and counterproductive work behaviors. *Human Resource Management Review, 20*(1), 73-84. doi: 10.1016/j.hrmr.2009.03.010
- Furnham, A. & Fudge, C. (2008). The Five Factor Model of Personality and sales performance. *Journal of*

- Individual Differences*, 29, 11-16. doi: 10.1027/1614-0001.29.1.11
- Gough, H. G., & Bradley, P. (1996). *The California Psychological Inventory™ manual – Third edition* (2002 Printing). Mountain View, CA: CPP, Inc.
- Griffin v Steeltex, Inc., 964 F. Supp. 317 (N.D. Okla. 1997).
- Hurtz, G. M., & Donovan, J. J. (2000). Personality and job performance: The Big Five revisited. *Journal of Applied Psychology*, 85(6), 869-879. doi: 10.1037/0021-9010.85.6.869
- Jones, J. W., Cunningham, M. R., & Dages, K. D. (2010). Pre-offer police integrity testing: Scientific foundations and professional issues. In P. A. Weiss (Ed.), *Personality Assessment in Police Psychology: A 21st Century Perspective* (pp. 159-187). Springfield, IL: Charles C Thomas Publisher.
- Judge, T. A., & Ilies, R. (2002). Relationship of personality to performance motivation: A meta-analytic review. *Journal of Applied Psychology*, 87, 797-807. doi: 10.1037/0021-9010.87.4.797
- Kamp, J. (1989). Relationship of the Reid Report to time theft in a retail setting. *Research Memorandum Number 24*. Chicago: Reid Psychological Systems.
- Karraker v Rent-A-Center, Inc., 239 F. Supp. 2d 828 (C.D. Ill. 2003).
- Marcus, B., Ashton, M. C., & Lee, K. (2013). A note on the incremental validity of integrity tests beyond standard personality inventories for the criterion of counterproductive behaviour. *Canadian Journal of Administrative Sciences*, 30(1), 18-25. doi 10.1002/cjas.1235
- Morey, L. C. (2007). *The Personality Assessment Inventory professional manual* (2nd ed.). Odessa, FL: Psychological Assessment Resources.
- Mount, M. K., & Barrick, M. R. (1995). The Big Five personality dimensions: Implications for research and practice in human resource management. *Research in Personnel and Human Resource Management*, 13, 153-200.
- Mount, M. K., Barrick, M. R., & Stewart, G. L. (1998). Five-factor model of personality and performance in jobs involving interpersonal interactions. *Human Performance*, 11(2-3), 145-165. doi: 10.1207/s15327043hup1102&3_3
- Nicol, A. M., & Paunonen, S. V. (2002). Overt honesty measures predicting admissions: An index of validity or reliability. *Psychological Reports*, 90(1), 105-115.
- Oh, I.-S., & Berry, C. M. (2009). The five-factor model of personality and managerial performance: Validity gains through the use of 360-degree performance ratings. *Journal of Applied Psychology*, 94(6), 1495-1513. doi: 10.1037/a0017221
- Oh, I.-S., Wang, G., & Mount, M. K. (2011). Validity of observer ratings of the Five Factor Model of Personality traits: A meta-analysis. *Journal of Applied Psychology*, 96(4), 762-773. doi: 10.1037/a0021832
- Ones, D. S., Dilchert, S., Viswesvaran, C., & Judge, T. A. (2007). In support of personality assessment in organizational settings. *Personnel Psychology*, 60(4), 995-1027. doi: 10.1111/j.1744-6570.2007.00099.x
- Ones, D. S., Viswesvaran, C., & Schmidt, F. (1993). Comprehensive meta-analysis of integrity test validities: Findings and implications for personnel selection and theories of job performance. *Journal of Applied Psychology Monograph*, 78(4), 679-703.
- Ones, D. S., Viswesvaran, C., & Schmidt, F. L. (2003). Personality and absenteeism: A meta-analysis of integrity tests. *European*

- Journal of Personality*, 17 (Suppl1), S19-S38. <https://doi.org/10.1002/per.487>.
- Rothmann, S., & Coetzer, E. P. (2003). The big five personality dimensions and job performance. *SA Journal of Industrial Psychology*, 29(1). doi: <https://doi.org/10.4102/sajip.v29i1.88>
- Roufa, T. (2019, August 4). What to Know About the Psychological Screening for Police Officers. Retrieved from <https://www.thebalancecareers.com/psychological-exams-and-screening-for-police-officers-974785>
- Salgado, J. F. (2002). The Big Five personality dimensions and counterproductive behaviors. *International Journal of Selection and Assessment*, 10(1/2), 117-125. doi: 10.1111/1468-2389.00198
- Salgado, J. F. (2003). Predicting job performance using FFM and non-FFM personality measures. *Journal of Occupational and Organizational Psychology*, 76(3), 323-346. doi: 10.1348/096317903769647201
- Schmidt, F. L., & Hunter, J. E. (1998). The validity and utility of selection methods in personnel psychology: Practical and theoretical implications of 85 years of research findings. *Psychological Bulletin*, 124(2), 262-274. doi: 10.1037/0033-2909.124.2.262
- Schmidt, F. L., Oh, I-S., & Shaffer, J. A. (2016). The Validity and Utility of Selection Methods in Personnel Psychology: Practical and Theoretical Implications of 100 Years of Research Findings. Retrieved from <https://www.testingtalent.net/wp-content/uploads/2017/04/2016-100-Yrs-Working-Paper-on-Selection-Methods-Schmit-Mar-17.pdf>
- Sellbom, M., Fischler, G. L., & Ben-Porath, Y. S. (2007). Identifying MMPI-2 predictors of police officer integrity and misconduct. *Criminal Justice and Behavior*, 34(8), 985-1004. doi: 10.1177/0093854807301224
- Shusman, E. J., & Inwald, R. E. (1991). A longitudinal validation study of correctional officer job performance as predicted by the IPI and MMPI. *Journal of Criminal Justice*, 19(2), 173-180. doi: 10.1016/0047-2352(91)90051-v
- Shusman, E. J., Inwald, R. E., & Landa, B. (1984). Correctional officer job performance as predicted by the IPI and MMPI: A validation and cross-validation study. *Criminal Justice and Behavior*, 11(3), 309-329. doi: 10.1177/0093854884011003004
- Simmers, K. D., Bowers, T. G., & Ruiz, J. M. (2003). Pre-employment psychological testing of police officers: The MMPI and the IPI as predictors of performance. *International Journal of Police Science and Management*, 5(4), 277-294. doi: 10.1350/ijps.5.4.277.24928
- Tarescavage, A. M., Fischler, G. L., Cappel, B. M., Hill, D. O., Corey, D. M., & Ben-Porath, Y. S. (2015). Minnesota Multiphasic Personality Inventory-2-Restructured Form (MMPI-2-RF) predictors of police officer problem behavior and collateral self-report test scores. *Psychological Assessment*, 27(1), 125-137. doi.org/10.1037/pas0000041
- Tatman, A. W. (2019). Initial reliability and validity of the Critical Hire-Personality Assessment. *Corrections: Policy, Practice and Research*. doi: 10.1080/23774657.2019.1699477
- Tatman, A. W. (2020a). Predicting correctional officer job performance using the Critical Hire-Screen and Personality Assessment Inventory: An analysis of incremental validity. *International Journal of Human Resource Studies*, 10(1), 158-170. doi: 10.5296/ijhrs.v10i1.16170

- Tatman, A. W. (2020b). *Predicting correctional officer job performance: Criterion validity for the Critical Hire-Screen*. [Manuscript under review].
- Tatman, A. W. (2020c). *Criterion validity of the Critical Hire-Personality Assessment*. [Unpublished manuscript].
- Tatman, A. W., & Huss, M. T. (2019). Criminal thinking and pre-employment integrity testing: Correlations between the Texas Christian University Criminal Thinking Scales and Critical Hire-Screen. *Journal of Human Resource Management*, 22(1), 65-69.
- Tatman, A. W., & Huss, M. T. (2020). Initial reliability and validity for the Critical Hire® - Screen. *Personnel Assessment and Decisions*, 6(1), 24-34.
- Terman, L. M., Otis, A. S., Dickson, V., Hubbard, O. S., Norton, J. K., Howard, L., Flanders, J. K., & Cassingham, C. C. (1917). A trial of mental and pedagogical tests in a civil service examination for policeman and fireman. *Journal of Applied Psychology*, 1(1), 17-29. doi: 10.1037/h0073841
- Tett, R. P., & Christiansen, N. D. (2007). Personality tests at the cross-roads: A response to Morgeson, Campion, Dipboye, Hollenbeck, Murphy, and Schmitt (2007). *Personnel Psychology*, 60(4), 697-993. doi: 10.1111/j.1744-6570.2007.000098.x
- Tett, R. P., Jackson, D. N., & Rothstein, M. (1991). Personality measures as predictors of job performance: A meta-analytical review. *Personnel Psychology*, 44(4), 703-742. doi: 10.1111/j.1744-6570.1991.tb00696.x
- Tippins, N., Sackett, P., & Oswald, F. L. (2018). Principles for the validation and use of personnel selection procedures. *Industrial and Organizational Psychology*, 11(S1), 1-97. doi: 10.1017/iop.2018.195
- Uniform Guidelines on Employee Selection Procedure (1978); 43 FR 38295 (August 25, 1978). Retrieved from <http://uniformguidelines.com/uniformguidelines.html#20>
- Vangent, Inc. (2008). *The Vangent Competency Modeling System Information Guide*. Chicago, IL: Vangent Human Capital Sciences.
- Wanek, J. E. (1999). Integrity and honesty testing: What do we know? How do we use it? *International Journal of Selection & Assessment*, 7(4), 183-195. doi: 10.1111/1468-2389.00118
- Wiggins, J. S. (1996). *The five-factor model of personality: Theoretical Perspectives*. New York, NY: The Guilford Press

Author Bio:

Anthony W. Tatman, Ph.D., is the owner and founder of Critical Hire, PLC. He specializes in pre-employment psychological and integrity testing for law enforcement and correctional officers. Correspondence may be directed to Anthony "Tony" Tatman at 500 Hickman Rd., Waukee, Iowa 50263-7713, PO Box 813; Email: tonytatman@criticalhire.com.

Employee aggressiveness, dishonesty, closed-mindedness, impulsivity, recklessness, and deficiencies in integrity are character issues that are problematic for any organization but can be exceptionally problematic for correctional agencies. Correctional officers are entrusted to uphold the law, protect the public, and serve as agents of change for their clients, and therefore they are expected to be models of rectitude and character. Correctional officers have also been given considerable power, authority, autonomy, and public trust, making an officer's integrity, emotional stability, and mental health essential characteristics. Hiring the wrong officer can have dramatic effects on an agency, its clients, and the community.



AMERICAN PROBATION AND PAROLE ASSOCIATION

Join the premiere member association for community corrections professionals – recognized for its incomparable training offerings and networking opportunities.



CONTACT APPA OR VISIT OUR WEBSITE:
859-244-8204
[HTTPS://WWW.APPA-NET.ORG](https://www.appa-net.org)

For less than an average tank of gas, be a part of the network for change you want to see in the field. There is strength in numbers and membership in APPA means you are an advocate for our field, a part of training and education, you support policy development, and more.

◆ **NEW MEMBER CAMPAIGN**

October – December 2021

◆ **SPECIAL DISCOUNT**

Two for the price of one (\$50)

BENEFITS

- Premium webinar recordings •
- Entitles member to serve on committees •
- Discount of 15% on Relias online training •
- Discount on partner products and services •
- Discount of 25% on training institute registration •
- Five-day early access to job postings and career center •
- Entitles member to run for Board of Directors seat/position •
- Entitles member to one vote in Board of Directors elections •



Membership Application

REFERRED BY: _____

YES! I WOULD LIKE TO JOIN APPA:

- | | | (U.S. currency) |
|--|--------------------------|-----------------|
| <input type="checkbox"/> Student Membership | (1 year) | \$25 |
| <input type="checkbox"/> Individual Member | (1 year) | \$50 |
| <input type="checkbox"/> Individual Member | (3 year) | \$135 |
| <input type="checkbox"/> Level I Agency Member | (800+ staff - 1 year) | \$1,000 |
| <input type="checkbox"/> Level II Agency Member | (500-799 staff - 1 year) | \$750 |
| <input type="checkbox"/> Level III Agency Member | (101-499 staff - 1 year) | \$550 |
| <input type="checkbox"/> Level IV Agency Member | (<100 staff - 1 year) | \$300 |
| <input type="checkbox"/> Affiliate Member | (1 year) | \$250 |
| <input type="checkbox"/> Associate Member | (1 year) | \$1,000 |
| <input type="checkbox"/> Corporate Member | (1 year) | \$8,000 |
| <input type="checkbox"/> Educational Institution | (1 year) | \$150 |
| <input type="checkbox"/> Library Subscription | (1 year) | \$60 |
| <input type="checkbox"/> Lifetime Member | (Lifetime) | \$300 |

(Individual must meet qualification criteria. Additional materials will be mailed to you upon receipt of this form to complete your application)

CONTACT INFORMATION:

First Name: _____ Last Name: _____

Title: _____

Email: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____

Agency/Organization: _____

☐ Check if same address as above

Agency/Org. Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____

Website: _____

METHOD OF PAYMENT:

☐ Check ☐ Purchase Order

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

For credit card payments, please call Kimberly Mills at 859.244.8204.

Mail or fax application and payment to:

APPA c/o The Council of State Governments
1776 Avenue of the States • Lexington, KY 40511-8482
Fax: (859) 244-8001

For further information, call (859)244-8204 or email appamembership@csg.org

Individual applicants, please complete the following:

LENGTH OF EXPERIENCE IN COMMUNITY CORRECTIONS

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

GENDER

- ☐ Female
- ☐ Male

RACE/ETHNICITY

- ☐ African American
- ☐ Asian
- ☐ Caucasian
- ☐ Hispanic
- ☐ Native American/
Alaska Native
- ☐ Other _____

HIGHEST LEVEL OF EDUCATION

- ☐ Associate's Degree
- ☐ Bachelor's Degree
- ☐ GED
- ☐ High School Diploma
- ☐ Master's Degree
- ☐ Doctorate

GEOGRAPHIC WORK AREAS

- ☐ Urban (Pop. >50,000)
- ☐ Rural (Pop. <50,000)
- ☐ Both Urban and Rural

JOB JURISDICTION

- ☐ City
- ☐ County
- ☐ Federal
- ☐ Province
- ☐ State
- ☐ Tribal
- ☐ Alaskan Village
- ☐ Other _____

APPA OFFERINGS

- ☐ APPA Advocacy Stances
- ☐ Awards & Spotlights
- ☐ Career Center
- ☐ Executive Summit
- ☐ Leadership Institute
- ☐ Marketing Opportunities
- ☐ Online Training Courses
- ☐ Specialized Services
- ☐ Training Institutes
- ☐ Writing for Quarterly Journal

I AM INTERESTED IN:

- ☐ Case Management/Planning
- ☐ Controlled Substances
- ☐ Criminogenic Risk/Needs
- ☐ Diversity
- ☐ Domestic Violence
- ☐ DUI
- ☐ Electronic Monitoring
- ☐ Evidence-Based Practice
- ☐ Family Justice
- ☐ Fines, Fees & Restitution
- ☐ Gangs
- ☐ International
- ☐ Interstate Compact/Commission
- ☐ Judicial
- ☐ Juvenile Justice
- ☐ Offender Employment
- ☐ Offender Mental Health
- ☐ Officer Safety/Wellness
- ☐ Parole
- ☐ Pretrial
- ☐ Probation
- ☐ Professional Development
- ☐ Public Policy
- ☐ Public Relations
- ☐ Recidivism
- ☐ Research/Evaluation
- ☐ Restorative Justice
- ☐ Sex Offender Management
- ☐ Supervision Strategies
- ☐ Technology
- ☐ Victims Issues
- ☐ Workplace
- ☐ Other: _____

PRIMARY WORK SECTOR

- ☐ Academia
- ☐ Adult Correction
- ☐ Adult Parole
- ☐ Adult Probation
- ☐ Community Justice
- ☐ Juvenile Parole
- ☐ Juvenile Probation
- ☐ Judicial
- ☐ Non-Profit
- ☐ Pretrial Services
- ☐ Private
- ☐ Residential
- ☐ Treatment Provider

PROFESSIONAL CATEGORY

- ☐ Administrator
- ☐ Attorney
- ☐ Commissioner/Director/Chief
- ☐ Consultant
- ☐ Educator
- ☐ Grant Coordinator
- ☐ Judge
- ☐ Line Officer
- ☐ Parole Board Member
- ☐ Private
- ☐ Project Director
- ☐ Retired
- ☐ Specialist
- ☐ Student
- ☐ Supervisor
- ☐ Trainer
- ☐ Transition Specialist