

# National Association of Probation Executives EXECUTIVE EXCHANGE

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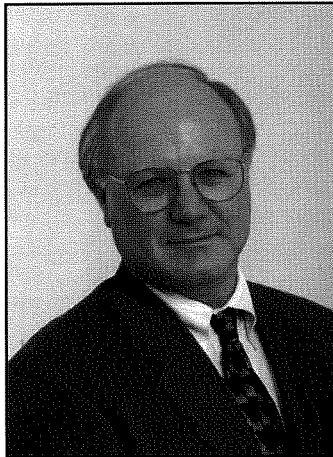
## PRESIDENT'S MESSAGE

I recently had the pleasure of visiting with six prominent executives in our field from around the country. The topic of discussion was research. As a group we were very encouraged by the studies that continue to confirm the validity of the approaches suggested by the "what works" literature. It is a true credit to our profession that leaders wasted little time in accepting the empirical evidence and applying the concepts in crafting theoretically sound and effective programs.

But one member of the group halted our self-congratulatory celebration. Barbara Broderick, Chief Probation Officer for Maricopa County, Arizona, noted that what the research had tended to neglect were the very basics. While most of us were deeply involved in developing this empirically based programming, we were continuing to utilize processes and practices that have been around forever. We continue to perform the basic functions of probation without serious thought as to what value they add to our efforts. We all blindly accept small caseloads, fieldwork, and frequent drug testing are integral elements of successful supervision. There is little argument that the three are essential to good surveillance, which is our greatest source of technical violation detection. And again we all blindly accept that the non-compliance illustrated by technical violations is a precursor to imminent new criminal conduct.

If we are achieving new levels of success by employing programs that are founded in research, is it not time for us

to produce the empirical evidence that supports the practices and approaches that enjoyed acceptance before many of us entered this profession? Perhaps the next round of research should direct itself to empirically answering some very basic questions:



Does caseload size really matter?

Does field work effect outcomes?

Do frequent drug tests serve to deter usage?

Are technical revocation really pre-emptive strikes against imminent criminal acts?

I would like to thank Gary Hinzman for his contributions as guest editor of this issue of *Executive Exchange*. He is once again to be commended for putting together a number of quality articles.

Finally, on behalf of the NAPE Board of Directors I wish each of you a very happy and safe holiday season. I hope we each approach 2003 with the passion that we possessed at the beginning of our careers. The coming year will be full of challenges, but I am very confident of the good things that are to come.

**Ron R. Goethals**  
President

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## FROM EXCITEMENT TO DESPAIR: COPING WITH THE BUDGET CRISIS

by

**Dan Richard Beto**  
Executive Director  
Correctional Management Institute of Texas  
Sam Houston State University  
Huntsville, Texas

### Introduction

A little more than a decade ago the National Institute of Corrections produced a monograph entitled *Managing Probation with Scarce Resources: Obstacles and Opportunities*. The authors of this publication were all members of the National Association of Probation Executives and, by most accounts, considered leaders in the probation profession. Since the monograph's publication date of January 1992, four of the five authors — Donald Cochran, Barry Nidorf, Gerald S. Buck, and Don R. Stiles — have retired. And the fifth author — Ronald P. Corbett, Jr. — ceased direct involvement with the field of probation when he became Executive Director of the Massachusetts Supreme Judicial Court.

In reading that monograph today, one is immediately struck with two thoughts: first, the vision, wisdom, and breadth of experience of the authors; and second, the similarity of the times.

In the introductory chapter Ron Corbett wrote about budget shortfalls, eliminating programs, exhausting financial reserves, and laying off or furloughing employees. What he wrote could just as easily describe the financial condition of many states today as it did more than ten years ago (Eggers, 2002). Many corrections agencies — and particularly community corrections agencies — are, at best, experiencing severe financial challenges while others, regrettably, are faced with the grim prospect of, using Corbett's terminology, a "financial meltdown" (Corbett, 1992).

Before dwelling on the apparent financial crisis facing community corrections, let us go back a couple of years to some happier times.

### Brief Excitement

In 1999 there was air of excitement in the field of community corrections — and particularly probation — when the Manhattan Institute in New York published *"Broken Windows" Probation: The Next Step in Fighting Crime*. The level of excitement became more intense a year later when the Manhattan Institute followed up on this initial monograph with a more comprehensive publication — *Transforming Probation through Leadership: The "Broken Windows" Model*. These two publications, written by the Reinventing Probation Council whose members number among the country's leading community corrections practitioners, acknowledged serious problems associated with probation and offered solutions on how its ills might be remedied (Reinventing Probation Council, 1999 and 2000).

The message contained in these two publications found a receptive audience in probation professionals who were less than enamored with the anemic state of community corrections and who were willing to embrace, using the term coined by Eithne Wallis (2001), Director of the National Probation Service

for England and Wales, a "new probation choreography." And with this receptive excitement, the "reinventing probation" movement became a reality.

Advocated by the Reinventing Probation Council were a number of key strategies that would move probation from an underfunded, unappreciated, and unknown correctional option to one that would be "at the table" when correctional policy was being crafted and that played a preeminent role in promoting public safety (Beto, et al., 2000). While these strategies have appeared in *Executive Exchange* previously (see Beto, et al., 1999), they bear revisiting. The key strategies or elements included:

- a value driven system;
- emphasis on public safety;
- meaningful supervision;
- rational allocation of resources;
- strong enforcement of conditions and a rapid response to violations;
- meaningful partnerships;
- performance based initiatives; and
- leadership.

A more thorough examination of these key strategies provides guidance for a reinvented probation and explains the optimism shared by many community corrections practitioners for the future of the profession. These key strategies can also serve as a blueprint for success in times of fiscal difficulties.

### Value Driven System

First and foremost, community corrections practices must be driven by a clear and convincing set of values, values that are held dear by the American people. Public opinion polls suggest that the public's desires concerning the criminal justice system are very clear. The public wants:

- safety from crime, and particularly violent crime;
- offenders held accountable;
- offenders to pay back to society, in either actual or symbolic restitution;
- some form of punishment;
- meaningful treatment programs based on research;
- a voice that is heard and respected in the justice system; and
- the truth.

Despite the guidance provided by this clear message, it was not until recently that probation practitioners could agree on the mission of probation, and that mission is the promotion of public safety.

### Emphasis on Public Safety

In a reinvented probation, practitioners must be mindful of the public's desire for safety. To citizens, crime rates, arrest rates, and conviction rates are not as important as what safety is like in their own neighborhood or community. More specifically, the public wants to be assured that: they can walk around the block in the evening without fear; their children can play at local playgrounds safely; their schools are safe; if offenders are living in their neighborhoods, they are being supervised closely and being held accountable; and there will be fewer victims in the future.

The only way these concerns can be answered by community corrections is by an emphasis on public safety first.

### Meaningful Supervision

For too long the probation profession has suffered from a "fortress" or "bunker" mentality, where supervision took place in the office of probation officers. For probation supervision to be effective, it must take place in the community where the offenders live, work, and recreate. Firsthand knowledge of where offenders live, their families, and their immediate and extended environments are critical elements of meaningful supervision. As Corbett (2002) observed, "you can't fight fires from the station house." In addition to just being in the community, probation should be highly visible, and the visibility must be positive in nature.

Meaningful supervision also means that it is conducted at times not confined to the traditional 8:00 AM to 5:00 PM, Monday through Friday, work day. To be effective, supervision must take place at nights, on weekends, and on holidays.

### Rational Allocation of Resources

The rational allocation of resources is especially important in times of diminishing budgets. Probation practitioners must focus on those offenders who are most at risk and on those whose offenses or affiliations pose a public safety risk, such as sex offenders, gang members, drug dealers, and those with histories of violence. The rational allocation of resources is driven, to a great degree, on the information concerning the offender under supervision; as such, probation practitioners should develop as much information as possible on offenders through comprehensive presentence investigation reports, juvenile records, psychological evaluations, and risk/need assessments. In addition, probation agencies must employ assessments at the front end of the system to make valid placement decisions and continue to use a variety of assessment instruments for specific offenders to regularly monitor their progress.

Probation officers should be strategically assigned to specific geographical areas rather than being randomly assigned offenders as they are placed on probation. This practice affords probation officers excellent opportunities to develop partnerships with law enforcement officers and area service providers.

### Strong Enforcement and a Rapid Response to Violations

All too frequently offenders under correctional supervision in the community have come to expect two or more "free ones" when it comes to dirty urine samples, electronic monitoring violations, refusal to keep scheduled appointments, or failure

to comply with a variety of conditions. By allowing these transgressions to occur, probation has become the great enabler; if offenders know they have several "bites at the apple" before they are held accountable, they have reason to feel relatively safe in continuing those behaviors that caused them to be placed on probation. For probation to be meaningful, this permissive practice must be abandoned and in its place there must be a strong commitment to enforcing all conditions and a timely response to violations.

A critical part of enforcing conditions of probation is the cooperation of the courts, where the violations are usually addressed. Those probation agencies that strictly enforce the conditions and enjoy a supportive relationship with the courts tend to have fewer problems with offender compliance issues. The key is that the response be swift and sure. The response to violations need not be revocation of probation, but rather the employment of graduated sanctions, such as a curfew or house arrest, intensive supervision or electronic monitoring, mandatory drug treatment, a brief period of confinement in jail, or placement in a residential facility for extended periods to provide greater structure in the offender's life.

In addition, probation agencies need to be tough-minded and put teeth into apprehending absconders from probation. Many jurisdictions have high absconder numbers and do not aggressively attempt to apprehend them. For example, in Texas alone there are over 80,000 probationers — more than 18 percent of the entire probation population in Texas — being carried on absconder status. Failure to actively seek out absconders does not speak well of probation's public safety function and sends a terrible message to offenders.

### Partnerships

Crucial to the success of probation is the involvement and support of other agencies, organizations, and interest groups. With this in mind, probation professionals should practice inclusiveness — both formally and informally — when developing policies, initiating programs, crafting supervision strategies, and delivering services.

Collaboration by probation with other agencies will result in an economy of resources. Too, it will provide more effective service delivery to the community and it will increase the opportunity for offenders to successfully comply with conditions and complete the period of supervision.

### Performance Based Initiatives

The need for information-based decision-making is critical in the delivery of effective probation services. Too, evidence-based practices are essential in rationally allocating agency resources. Because of diminishing financial resources, all probation agencies must make decisions on developing, adjusting, or retaining programs based on performance (Home Office Communication Directorate, 1999). In achieving this, strategic planning principles should be employed and good evaluation models developed to measure program effectiveness (see Bryson, 1995).

### Leadership

In the final analysis, the key component to drive a probation system that has values, rationally allocates limited resources on

programs and strategies that work, provides meaningful supervision and a quick response to violations, that practices inclusiveness, and that is accountable and emphasizes public safety, is leadership.

Perhaps one of the better descriptions of leadership is offered by Noel M. Tichy (1997), Professor of Business at the University of Michigan at Ann Arbor, who wrote:

In a broad sense, what leaders do is stage revolutions. They are constantly challenging the status quo and looking around to see if they are doing the right things, or if those things can be done better and smarter. And most importantly, when they do spot something that needs to be changed, they do something about it.

Shortly after the release of the Manhattan Institute's initial monograph — *"Broken Windows" Probation: The Next Step in Fighting Crime* — a significant number of community corrections administrators, excited by the prospect of probation assuming its rightful role in crafting criminal justice policy and promoting public safety, stepped up to the plate of leadership and commenced implementing the suggested strategies. And, in Tichy's terms, they began to "stage revolutions."

#### The Decline into Despair

In 2001, much of the excitement and optimism of the past two years began to erode, due primarily to serious budget constraints. States began to project budget shortfalls, and much of the language of reinventing probation was being replaced with talk of staff layoffs, eliminating programs, added unfunded mandates, lowering standards, closing offices, a reduced emphasis on staff training, and increased caseloads.

Compounding the budget crisis was the devastating attacks of September 11, 2001, on our nation by foreign terrorists. As a result of the events of that tragic day, dollars in already strained federal and state budgets were, and continue to be, redirected to address homeland security issues. Further compounding the problem was the decline in the stock market, driven by company failures, corruption, and a growing distrust in corporate America. According to the Wilshire 5000 index, which tracks every publicly traded domestic company in the United States, between March 24, 2000, and July 18, 2002, "the market . . . lost more than \$7 trillion in value and shed more than 1,000 companies" (Week in Review, 2002). As a result of this decline, many state operated pension plans have lost billions in investments.

Because of shortfalls in budget projections, the need to focus on homeland security issues, questionable corporate practices requiring attention, and other pressing concerns, it is doubtful that probation — despite the fact it is responsible for supervising more than 3.9 million offenders, or 59 percent of the entire correctional population — will be found in the top half of the list of funding priorities when legislative bodies meet to parcel out tax dollars. In addition, in those jurisdictions where probation is part of an umbrella criminal justice agency, it is likely it will be on an uneven playing field with the "bricks and mortar" establishment when competing for the correctional dollar.

#### Avoiding Lost Opportunities

Despite the lean years ahead, community corrections executives should continue to press their case to legislators and policymakers, advocating that investing in probation is the best use of the correctional tax dollar (see DiIulio, 1999; Edwards, 2002; Petersilia, 2002; Reinventing Probation Council, 2000; and Wilson, 2002).

Moreover, they should continue to be enthusiastic and committed to what they do; they should not adopt the victim mentality of "woe is me" and simply surrender to the plight they face. With crises come "windows of opportunity" that probation executives should be ready to open.

While it is understood that probation executives would rather not experience budget reductions and the related harsh actions that are likely to be required, these circumstances may provide community corrections administrators with a number of opportunities — opportunities to:

- eliminate organizational "dead wood";
- reorganize the agency and reassign duties;
- consolidate services;
- discard programs of dubious merit that are not supported by research;
- shift responsibility for unfunded mandates;
- engage partners;
- challenge the *status quo* mentality;
- move staff out of central office and into the community;
- refocus organizational philosophy and mission;
- identify and eliminate obstacles; and
- improve efficiencies.

Management guru Peter Drucker (1999) suggests that agencies and organizations routinely conduct self-assessments to provide focus and direction, and this is particularly important during hard times. More specifically, Drucker's deceptively simple self-assessment tool, which follows, could serve as a prelude to a formalized strategic planning process:

- What is our mission?
- Who is our customer?
- What does the customer value?
- What are our results?
- What is our plan?

Thoughtfully responding to these five questions will provide guidance in dealing with challenges and periods of difficulty. Taking the process a step further, applying the responses to the key strategies suggested by the Reinventing Probation Council should lead to community corrections programs and initiatives that are rational and worthy of support by the public and policymakers.

#### Conclusion

In addition to Drucker's five questions, there is a sixth question probation executives should ask and be prepared to answer: "What do we want people to say about our agency in one/two/five years?" Revisiting that question on a regular basis should keep one focused on the tasks at hand.

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#### INFORMATION ABOUT EXECUTIVE EXCHANGE

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ted on a computer diskette, with the software used indicated.

Specific questions concerning *Executive Exchange* should be directed to Dan Richard Beto at (936) 294-1675. Facsimiles may be sent to (936) 294-1671 and email may be sent to drbeto@shsu.edu. All correspondence regarding *Executive Exchange* should be sent to the following:

Dan Richard Beto  
Executive Director  
Correctional Management Institute of Texas  
George J. Beto Criminal Justice Center  
Sam Houston State University  
Huntsville, Texas 77341-2296

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## SHORT SIGHTEDNESS CAN CAUSE BUDGETCIDE

by

**Gerald R. Hinzman**

Director

Sixth Judicial District Department  
of Correctional Services  
Cedar Rapids, Iowa

### Introduction

What is budgetcide? It is cutting your own throat during difficult budgetary times. Probation administrators need to think through the implications of their reactions to tough fiscal times and develop strategies that maintain their value and belief structures and strategies that position them well for the future when fiscal times are better.

Budgetcide is doing the wrong things for the immediate or short term gain without thinking about the long term implications. One of the most costly lessons to be learned is that "doing nothing is doing something." If you fail to develop a good plan to pull you through tough times then that omission is doing something. It is something that leaves you at the mercy of other planners and you can lose control of your environment.

With that in mind, it is important to get an understanding of what is going on in your political environment. Is this just hard fiscal times or is it also a planned attempt to roll back the department's budget and permanently cut staff? It could be both, so you could get caught up in helping downsize your agency permanently while you believe that you are proposing short term fixes. In that regard you may not want to reveal all your cost cutting strategies or revenue growth strategies. Often the reward for being innovative is to have someone that controls your purse strings decide that more fat can be trimmed from your budget because you have found other means to manage.

### Ask for Flexibility

Always ask for flexibility in managing your own budget. If you are handed a budget reduction number and told to eliminate a certain number of positions that will be lost forever, you are in a very difficult situation. Always ask for the flexibility to be allowed to use your experience and administrative skills to manage the budget. It is always better to manage a reduction of a certain dollar amount or a percentage of the budget. This will allow you to employ your own strategies and give you more options and flexibility. Remember:

1. Layoffs and furloughs are better than permanent staff reductions.
2. Managing vacancies is better than furloughs and layoffs.
3. The opportunity to develop new revenue streams could ease your problem. It could allow you to keep needed staff.
4. The flexibility to manage your own budget gives you the opportunity to craft solutions or take the reductions where you can best absorb them.

### Managing Perception and Providing Accurate Information

Another aspect very important to remember is that of perception. The first issue is what your own staff perceive is important to you? If you have been telling staff that assessments, responsivity, and clinical supervision are very important but let them drop during a fiscal crisis, they will easily conclude that they are not important or critical. They will all just seem like those "here today and gone tomorrow" programs staff prefer not to be burdened with. If you are running programs that are important to you and they are the right thing to do, then you must stand by them.

Another aspect of perception is that of legislative or fiscal bureau oversight. They will watch very closely to see what is really important to you and what you prioritize as important to you. They will remember these in future budget cycles. One of the hard lessons all administrators learn over the years is that of promises that the promise maker does not have the ability to deliver. It's like the police detective that promises the criminal he can go home after giving a statement only to come back and blame the lieutenant for over-riding him. The same can happen with budgets. The world is full of unkept promises.

Always manage alarming information effectively and always provide consistent, accurate, and straightforward information. Do not provide inaccurate information to your staff or staff confidence in management's ability to manage will be eroded. It is frequently the case that those making decisions at other levels of fiscal management provide you with unintentional misinformation and then correct it again. It is always best to sit on the information for a day or two until the dust settles. When you are sure it is accurate it can be disseminated to staff. It is critical that staff do not perceive a vacillating administrator when their jobs may be on the line.

### Take Positive Steps

All of the previous comments of what to be on the look out for are good starting points for avoiding budgetcide, only turn them into positive action steps. So avoid getting trapped into political downsizing. Do not disclose your own strategies to manage internally, including raising fees, etc. If you show them at the beginning of the fiscal year they will take them as budget offsets now. If you hold them close to the vest to manage your budget situation during the year, you will later look like a good fiscal manager. Be mindful of what you want others to perceive as critical programming for your department. If you don't think it critical now, they probably won't later.

What are some strategies to manage budget cuts that can help you maintain operations that are consistent with the values and beliefs on your department? Several suggested strategies follow:

1. Increase revenues by raising costs for services or increasing fees. There are probably many things that you never charged for that you could. This list includes fees for community service, fees for pretrial or presentence investigation services, charging a fee for certain course offerings, charging for drug testing, charging a fee to sex offenders for enhanced treatment or supervision, etc.
  2. Decrease cost of treatment contracts. This can be accomplished a number of ways. You could use the same contract money to keep staff employed and assign them to work with this offender group. Often the treatment agencies can also bite the bullet and are willing to cut their contract amounts (even by half) to continue a valued working relationship. You can do a combination of these two strategies by using contractual arrangements.
  3. Manage the vacancy factor, but be careful you do not lose critical positions.
  4. Delay large purchases, especially capital items such as vehicles.
  5. If you have the ability, use any yearend savings to buy contract services, UA supplies, etc., for next year; this helps offset next year's budget.
  6. If you have the ability to pay any of next years cost now, do so rather than revert the money at the end of the fiscal year. This would include rent payments, contracts for equipment such as computers, or any other type of sinking fund. This will provide a cushion for next fiscal year.
2. Can you make a paper move to show these positions to be funded by some other income besides general fund dollars? Locally generated revenues such as grants, contracts from other agencies to fund positions, and new revenues from increased fees are some options.
  3. Practice first in — first out. If a vacant position has been vacant the longest that is the one that you reactivate. Leave the just vacated position open. That way you can keep all FTEs on the books for a longer period of time.
  4. As you practice the above suggestion, reclassify all positions to "mission critical" positions as you fill them (i.e.: reclassify a volunteer coordinator to a probation officer). This accomplishes two things. First it will not be as tempting for someone reviewing your budget to want to eliminate "mission critical" positions. Secondly an agency with vacant mission critical positions will get refunded quicker than one with vacant positions that are not "mission critical." Here is a likely scenario; a volunteer coordinator has been vacant 11 months. Think first in — first out and reclassify this position (identification number and all) to a probation officer and fill the position to replace a probation officer position just vacated. The probation officer position just vacated (identification number and all) is your new "mission critical" vacancy.

### Out-of-the-Box Options

In positioning your agency for recovery, be aware of options you may have for freeing current or future revenues. For example, if you have been paying on the purchase of large capital items (especially buildings or property), it might be a good time to take advantage of lower interest rates and refinance:

1. That should lower your monthly/yearly payments and allow you to budget the same amount to meet other shortfalls.
2. By refinancing you may extend the life of the purchase agreement. That may be a benefit. It is possible that if the balance was paid during difficult fiscal times the dollars that were dedicated to the payment would be reduced in a subsequent budget. If the same were true in healthy fiscal times you quite likely would be allowed to keep that money for new capital projects or develop new treatment options.
3. Any like expense that has the potential to end during a fiscal crisis will be seen as easy decisions as to where to get budget cuts.

It would be hard for anyone to disagree with saving the taxpayers money so your chances of getting approval to refinance should be very good. Conversely, the worse case scenario is to have your last payment this year and those who control your purse strings decide that money would make a good start on next year's budget cuts.

### Create or Work with a Non-Profit Foundation

Another option I would offer is to create your own private non-profit foundation if your state allows you to do so. Public

It is worth stating again that anything you can do to offset your fiscal liability after your budget has been set will allow you to maintain operations that are consistent with the values and beliefs of your department, and will avoid or minimize the need to furlough, layoff, or terminate staff.

### Make Good Personnel Decisions

That brings us to another key point. Do everything in your power to retain the hard working staff that have done their best to help weather the storm. If you ever had a thought of being remembered as an effective leader, this is your big chance. Let staff know that letting them go is not a choice you want to make. The only personal antidotal comment I will make in this article is that I have never (through all the worst of times over thirty years) furloughed, laid off, or terminated staff because of a budget crisis. I believe they are the best resource we have. You can help manage this by keeping vacant positions open and thus impact on the budget.

Subsequently, one of the issues that requires attention is how you do manage vacant positions and position the department for recovery? To just allow vacant positions to sit without managing them would be a serious mistake when there are good strategies to do otherwise. It is a good strategy to allow vacancies through attrition but consider these tips:

1. Know how long you are allowed to keep them vacant before someone thinks they are not needed and wants to eliminate them all together. If the answer is six months or a year and you lose them, plan accordingly.

schools and community colleges have done this for years. This is generally easier in states where probation is not under the courts but can also be done even there with special legislation.

1. The possibilities to seek other grant opportunities are greater. You can have your own public/private partnership.
2. You can contract with the foundation to provide services at lower costs than some current providers.
3. The foundation may provide your department with grants. You can develop new revenue streams and ventures that realize revenues.
4. Your own employees who can't volunteer or work additional part-time hours for the department because of FLSA can do so for a private foundation.
5. You can also rehire just retired public workers immediately.

Subsequently, the foundation can operate programs like batterers education, cognitive programming, cultural specific programs, etc., at a lower cost than other non-profits because they have a lower or no profit margin with the best qualified personnel. If you are wondering if I practice what I preach here, the answer is the Community Corrections Improvement Association is eleven years old now.

In many communities there are already in place "community foundations" linked by a national association of community foundations. Short of starting your own foundation you may want to approach your local community foundation to see if there is any chance their foundation would help support your needs. Yet another option is finding another friendly non-profit that would be supportive of assisting with your needs. In some instances, several non-profits that normally serve offenders and their families have created umbrella partnerships with public agencies such as probation or community colleges to create "Partners in Accountability." It becomes a great vehicle to develop a public/private venture to deliver holistic or wrap-around services.

#### Political Realities of Budgeting

This has been just a quick study in some strategies to manage your department's budget during difficult fiscal times. As we all know there is more nitty-gritty to this and not enough time to write about it all. In conclusion it is best to understand the politics of managing the budget and the following tips:

1. Do not make managing the budget look too easy. If you can cut certain areas of the budget, make it hurt. If you can raise additional revenues, make it difficult.
2. Do not reveal all your strategies at the onset. Keep your cards close to the vest. If you present these options too soon they may just offset additional budget cuts.
3. Avoid the appearance of fluff. Do not keep positions that are not "mission critical" if other departments are bare bones.
4. Protect your staff. Manage vacancies effectively (first in — first out) and keep them as "mission critical."
5. Maintain the values and beliefs of your department when the chips are down.

6. In reference to No. 1 above, some options are too hard for policy makers to cope with. For example, closing residential facilities may have too much of an impact on public safety or prison overcrowding. If you can demonstrate that is the only way to meet your cuts or the best recourse to take, you may be spared some cuts.
7. Always think of how you best position your department to recover in the next year or two. There will be better days ahead. Those who can demonstrate the most critical needs will get priority funding.
8. Manage the flow of information to staff so that only accurate information gets to them. Misinformation can have a devastating impact on morale. It can erode confidence in management.
9. Watch the unintended messages you send to community partners. If you have asked them to reduce contracts during this critical time be frugal in other matters as well. Ask staff to be mindful of what they say.
10. If you are managing through critical times by increasing revenues expect to see future budget offsets because of that or be able to demonstrate way it is only an effective interim step.

#### Conclusion

By the way, I do have other strategies but would never write them down where someone who might control my budget would see them. If you have a need, call me!

An earlier version of this article appeared in a monograph published in 2002 by the National Institute of Corrections.

## PROJECT SPOTLIGHT: A RATIONAL STRATEGY FOR CRIME REDUCTION IN TEXAS NEIGHBORHOODS

edited by

**Dan Richard Beto**  
Executive Director  
Correctional Management Institute of Texas  
Sam Houston State University  
Huntsville, Texas

**Jim Kester**  
Criminal Justice Division  
Office of the Governor  
Austin, Texas

In the early 1990s, in pockets throughout the United States, observers of criminal justice practices began to notice a new phenomenon — police-probation partnerships. Perhaps one of the better known partnerships occurred in the Dorchester area of Boston, where police and probation officers began working together to reduce gang-related youth homicides. This initiative — known as Operation Night Light — had a significant impact on curtailing youth violence and won the support of community leaders, social service agencies, and the clergy.

As a result of the success of Operation Night Light, many jurisdictions throughout the United States created similar police-probation partnerships.

#### Creation of Project Spotlight

In late 1999 the Criminal Justice Division of the Texas Governor's Office, with the support of the Texas Legislature, created Project Spotlight. This innovative program focuses resources to prevent crime in Texas neighborhoods and creates working partnerships between law enforcement, juvenile probation, and adult probation. Experience suggests that this unique coalition provides an effective tool to enforce the terms of supervision of high-risk probationers in high-crime neighborhoods.



Funding for Project Spotlight was provided through the Office of the Governor and administered by the Criminal Justice Division. Since Fiscal Year 2000, the Criminal Justice Division has awarded annual grants to seven heavily populated counties designated by the Texas Legislature: Bexar, Dallas, El Paso, Harris, Nueces, Tarrant, and Travis. Each county has three teams of three members: a juvenile probation officer, an adult probation officer, and a law enforcement

officer. These nine individuals form the Project Spotlight team and work together to provide supervision and surveillance to juvenile and adult probationers living in high-crime neighborhoods.

Teams provide intensive supervision and surveillance, including evening, early morning, and weekend visits to the homes and communities of probationers to ensure that conditions of probation are being met. Team members coordinate their efforts and share information with each other and with other law enforcement agencies to ensure that probationers are consistently monitored and held accountable for their actions while in the community. Electronic monitoring, curfews, and regular drug testing are integral parts of the program.

Although the model for Project Spotlight was developed by the Governor's Criminal Justice Division and the seven jurisdictions are required to adhere to the model to receive continued grant funding, a certain degree of flexibility has been allowed. Each of the seven Project Spotlight programs has its own unique character. In some jurisdictions city police are partners while in others it is the county sheriff's department or the constable's office that has teamed up with the adult and juvenile probation departments.

Juvenile probation officers are prohibited by law from carrying firearms while on duty. Adult probation officers may be armed if approved by the adult probation director and the courts, and if they satisfy certain training requirements. In only two of the seven Project Spotlight jurisdictions are adult probation officers armed.

#### Program Benefits

##### *New Resources*

The Governor's Criminal Justice Division has awarded grant funds to each participating county for Fiscal Years 2000 through 2003, providing funds for both supervision and services.

Within each county grant funds are managed by a lead agency. Counties employ interlocal agreements, which contain budgets with itemized allowable expenditures, to assign responsibilities and share funds among the participating agencies. Contracts are used to purchase needed services from providers of prevention, education, and employment services.

**Collaboration and Coordination**

Traditionally, a major obstacle to the effective monitoring and supervision of offenders has been the lack of communication and coordination of resources between juvenile and adult community corrections agencies and law enforcement. Each agency expends a great deal of resources to provide supervision and services to youths and young adults in high-crime neighborhoods.



Photograph of a Project Spotlight vehicle in Nueces County, Texas.

Law enforcement and community corrections agencies are able to achieve common goals — especially crime reduction — more effectively through collaboration, as demonstrated by Operation Night Light in Boston and Project Spotlight.

**Information Sharing to Achieve Common Goals**

Law enforcement and probation each possess a great deal of valuable information about youths and young adults in high-risk communities. Unfortunately, prior to the development of Project Spotlight, much of that information was not readily shared between agencies. Through the regular exchange of information, law enforcement officers have become more aware of youthful offenders in their patrol area who are on probation and have developed a greater appreciation of their problems, needs, and supervision requirements. And with this knowledge, the effectiveness of the law enforcement officers is enhanced. Likewise, law enforcement officers possess a great deal of information concerning gang activity, area “hot spots,” and youth activities that is helpful to probation officers in performing their jobs.

**Extending Partnerships**

Project Spotlight not only offers law enforcement and probation agencies a practical solution to the problem of offender supervision, it also stresses community involvement and the coordination of multiple resources. Neighborhood organizations, churches, and businesses are all encouraged to assist in building a continuum of services that are offered to Spotlight probationers and their family members.

**Services Provided**

**Supervision and Surveillance**

Project Spotlight is a high intensity, community-based, supervision and surveillance program. Conditions of probation are strictly enforced. Teams of law enforcement and probation officers provide both announced and unannounced contacts and home visits to probationers in the targeted neighborhoods during non-traditional work hours. Team contact is frequent, and probationers rapidly develop an increased awareness of the constant presence of officers monitoring their behavior.

**Case Management**

Service plans and the delivery of services are based on the needs of individual offenders and their families. These services may include:

- individual, group, and/or family counseling;
- case coordination;
- substance abuse testing, treatment, or referral;
- mental health referrals with progress and discharge reports;
- preparation and transportation for court appearances; and
- a comprehensive needs assessment and plan to address education and employment needs of each probationer assigned to Project Spotlight.

**Family Development**

Family development services provide parents and other family members with the necessary skills, resources, and support to strengthen family units. Referrals for services may include family support groups, parenting workshops, general education, employment skills training, such as job search and resume writing, and psycho-educational training such as found in anger management and stress management courses.

**Skills Development**

Project Spotlight provides training services to offenders assigned to the program in the areas of life skills, decision-making skills, social skills, physical fitness and health care, as well as educational and vocational assistance.

**Program Description**

**Orientation Period**

The orientation period is crucial to the success of the program. Immediately after a youth or young adult is placed in the program, he or she is provided an overview of Project Spotlight and the terms of supervision. Within 24 hours, the team conducts a home visit where a more thorough review of the rules and conditions of the program are provided. Initially, the probationer is placed on Level One supervision status, with a minimum of five contacts per week for the first 30 days of the program.

As noted, it is within the first few weeks of the program that probationers experience an increased awareness of the teams’

presence in their lives and in the community. It is imperative in the early stages of the program that probationers feel as though the “spotlight is on them.”

**Placement Eligibility**

Project Spotlight supervises youths and young adults who have been adjudicated delinquent or found guilty by a court and who are formally placed on Spotlight supervision with specific conditions of probation. Although there is communication with juvenile and adult parole agencies, the Project Spotlight teams do not supervise parolees.

Project Spotlight is intended to supervise youths and young adults who possess the highest risk factors. Many of these offenders may have committed crimes against persons, been involved in gun-related offenses, or have serious gang affiliation. This intensive supervision program offers the highest level surveillance, and provides offenders with a “last chance” to succeed in a community-based setting. Continued violations of probation will result in revocation and a removal from the community into a secure residential environment.

**Supervision**

Project Spotlight teams conduct a minimum of five face-to-face contacts a week with each offender for the first month of supervision. After the first month, Spotlight probationers are expected to receive at least three to five contacts per week, depending upon risk factors and their adjustment to community supervision.

Teams patrol together in the afternoons and evenings, making ten to 15 home visits per day. It is not uncommon for a team to stop at a park or a street corner where youths congregate, especially after probationers’ curfew hours, to determine whether probationers are present and to demonstrate to the community and to offenders the collaborative nature of the relationship between law enforcement and probation.

In addition to team visits, officers may also contact probationers individually. Probation officers, for example, may choose to meet with probationers in the office, at school, jobs, community recreation centers, or any other community location. The Project Spotlight teams work primarily 3:00 PM to 11:00 PM shifts, and most of the contacts and home visits occur after 6:00 PM.

**Caseloads/Program Capacity**

The average caseload for each probation officer is between ten and 15 offenders, with a strong emphasis on maintaining full caseloads of 15 probationers per officer. At no time will juvenile or adult probation officers carry caseloads greater than 15 individuals. Between 75 and 90 probationers are supervised every six months by the three Project Spotlight teams in each of the seven participating jurisdictions.

**Length of Supervision**

The average length of stay under Project Spotlight supervision is approximately six months. The exact length of time depends upon the terms of the court order, as well as the progress of the probationer while under supervision.

**Security**

The law enforcement members of the Project Spotlight team provide security for the team, especially when making home visits and patrolling at night. Experienced law enforcement officers, as a result of extensive training, are sensitive to the manner in which a residence should be approached and how to diffuse a potentially volatile situation. In addition, they are very familiar with the neighborhood in which Project Spotlight patrols are conducted, and that familiarity becomes invaluable in identifying problem areas, accessing obscure streets and alleys, and locating probationers attempting to evade contact.

In addition to providing security to the probation officers, the law enforcement team members become aware of the needs of the high-risk offenders assigned to the program and, as a result, are able to make significant contributions to the casework activities.

Once security issues are addressed, the contact proceeds like a typical probation home visit. The officers make every effort not to alarm other family members with their presence. Courtesy and professionalism are emphasized and maintained at all times.

Project Spotlight teams may travel in marked or unmarked cars, depending upon the desires of team members and the philosophy of the jurisdiction’s participating agencies. The program budget includes funds to purchase body armor, flashlights, handcuffs, windbreakers and easily identifiable clothing, hand-held radios and cellular telephones, binoculars, cameras, and laptop computers to adequately protect and assist members in the performance of their duties.

**Program Infrastructure**

**Center for Project Spotlight**

The Center for Project Spotlight, created in 2000 by a grant from the Criminal Justice Division of the Governor’s Office, is staffed by the Correctional Management Institute of Texas (CMIT) and the Bill Blackwood Law Enforcement Management Institute of Texas (LEMITE) at Sam Houston State University. The Center’s key personnel possess a wide range of community corrections and law enforcement experience.

The Center provides forums twice a year, specialized training, monographs, a quarterly newsletter, and on-site technical assistance. In addition, the Center has provided assistance to the Governor’s Criminal Justice Division on matters relating to police-probation partnerships.

**Advisory Council**

The Center is assisted by an Advisory Council of state and local officials with expertise in probation, law enforcement, education and employment, prevention, research, and evaluation. Members of the Advisory Council include:

- Joe Ballesteros, Nueces County Sheriff’s Department, Corpus Christi
- Caesar Garcia, Bexar County Adult Probation Department, San Antonio
- Todd Jermstad, J.D., Bell-Lampasas Counties Adult Probation Department, Belton

Jim Kester, Criminal Justice Division, Office of the Governor, Austin  
 John Orton, J.D., Office of the Attorney General, Austin  
 Sam Santana, El Paso County Juvenile Probation Department, El Paso  
 Vicki Spriggs, Texas Juvenile Probation Commission, Austin  
 George Sturgis, Harris County Sheriff's Department, Houston  
 Brittani Trusty, Criminal Justice Policy Council, Austin  
 Bonita White, Texas Department of Criminal Justice, Austin

- percentage of offender families referred to services; and
- number of offenders supervised in Project Spotlight.

Evaluation of the third year of the program is currently being conducted and should be published by January 2003. The evaluation results, once published, may be found on the Criminal Justice Policy Council web site at [www.cjpc.state.tx.us](http://www.cjpc.state.tx.us).

#### Additional Information

Packets of information about Project Spotlight may be obtained by contacting the Center for Project Spotlight at the following address:

Center for Project Spotlight  
 George J. Beto Criminal Justice Center  
 Sam Houston State University  
 Huntsville, Texas 77341-2296

Email requests for information may be sent to [drbeto@shsu.edu](mailto:drbeto@shsu.edu) and facsimile requests may be sent to 936/294-1671.

Much of the information contained in this program profile was originally prepared by the Criminal Justice Division of the Texas Governor's Office in 1999. Since that time it has undergone several revisions. The current program description was prepared for *Executive Exchange* in November 2002, and was edited by Dan Richard Beto and Jim Kester.

Editor's Note: Several members of the National Association of Probation Executives are involved in Project Spotlight. Participating members include Ron R. Goethals of Dallas County (Dallas), Tom Plumlee and Carey D. Cockerell of Tarrant County (Fort Worth), Elmer Bailey and Mike Enax of Harris County (Houston), and Eddie Gonzalez of Nueces County (Corpus Christi).

#### Web Site

A web site for Project Spotlight has been created. The site's address is [www.projectsplight.org](http://www.projectsplight.org). The web site provides a wide range of information about Project Spotlight and police-probation partnerships, with links to numerous related sites. Also provided are complete descriptions of local Project Spotlight projects and resources that are available in each participating county.

#### Evaluation

Project Spotlight is subject to evaluation by the Texas Criminal Justice Policy Council. When Project Spotlight was created, four legislatively-mandated performance measures were applied to the program. Those measures include:

- annual average reduction of 20 percent in violent crime rate for all target areas;
- annual average increase of 20 percent in number of arrests made as a result of Project Spotlight;
- annual average increase of 30 percent in the number of probation violations identified and resulting in the revocation of probation; and
- percentage of youth and young adults in all target areas that are re-arrested within six months of successfully completing community supervision.

In November 2001 the Criminal Justice Policy Council issued *Project Spotlight: First Year Implementation Overview and Recommendations for Improvement*. In this evaluation report the Policy Council was critical of the legislatively-mandated performance measures because: 1) expectations over time were unrealistic; 2) definitional parameters were unclear; 3) there existed weak validity; and 4) illogical interrelationships were present. Following issuance of that report, the Governor's Criminal Justice Division adopted internal performance measures recommended by the Criminal Justice Policy Council and the Center for Project Spotlight; they are as follows:

- percentage of offenders successfully completing Project Spotlight;
- percentage of offenders who are re-adjudicated/convicted for offenses that occur within one year of successful completion of Project Spotlight;
- average number of program contacts per offender per month;
- number of contacts made with the Spotlight community;

## DUAL DIAGNOSIS OFFENDER PROGRAM DESCRIPTION

by

**Ross Todd**  
 Probation and Parole Officer

**Patti Smilanich**  
 Psychologist  
 First Judicial District Department  
 of Correctional Services  
 Waterloo, Iowa

#### Background

Approximately 10 million people in the United States have co-occurring addictive and mental disorders (SAMSHA, 1997). The most common term used to identify treatment programs for persons with co-occurring disorders is "dual diagnosis," which most frequently is used to describe the presence of two co-occurring illnesses, substance abuse or dependence, and a severe and persistent clinical syndrome, such as major depression, bipolar disorder, or schizophrenia (Hills, 2000).

A study by Kesler et al., (1994) found that 52% of a representative national sample of community respondents with a history of alcohol disorders and 59% of those with a history of illicit drug disorders also had a history of at least one mental disorder. Such statistics have led a number of experts to declare that clients with co-occurring disorders should be the "expectation not the exception" for treatment providers in the public substance abuse and mental health treatment systems.

For a number of reasons, the concentration of persons with mental health and substance use disorders in correctional settings (Abrahamson, 1972; Teplin, 1983) has been found to be rising dramatically. A significant factor contributing to that growth is the large number of drug law violators. Given the increasing confluence of mentally ill and/or substance abusing individuals who are seen in courts and community settings, jails, and prisons, greater attention has been focused on the need for diversion and rehabilitation programs in those settings (American Bar Association, 1992; Dvoskin, 1991; Inciardi, 1992; Luekefeld and Tims, 1992; National Institute of Corrections, 1991; Steadman, 1991).

In response to that need, in September of 1998, the First Judicial District Department of Correctional Services in Waterloo, Iowa, established a community-based treatment program within its correctional facility. The structured treatment program is designed to identify, educate, and treat those offenders under the supervision of the First Judicial District who suffer from co-occurring substance abuse/dependence and severe and chronic mental illness disorders. The Waterloo Residential Correctional Facility established a sixteen-bed unit for male clients. The overall goal of the Dual Diagnosis Offender Program (DDOP) is to enhance the potential of the client to be able to establish and live a law-abiding lifestyle with a stabilized mental condition free of chemical dependency. Program objectives include diverting dually diagnosed clients from lengthy incarcerations in local and state institutions, as well as enhancing communication, coordination of services, and understanding of client needs between agencies involved in services with this population.

dination of services, and understanding of client needs between agencies involved in services with this population.

Integration of treatment services maximizes intervention efforts aimed at addressing the specific symptoms and behavior patterns associated with the experience of both classes of disorder (Hills, 2000). Since integrated treatment focused on both disorders simultaneously within the same service setting is thought to be best practice, the Department of Correctional Services partnered with a local mental health agency as well as a community substance abuse treatment program to address those issues. Contracting with Black Hawk-Grundy Mental Health Center and Pathways Behavioral Services created the ability for the "synergy that produces services well beyond the scope of what any single system could have hoped to mobilize on its own" (GAINS, SAMSHA 2001). Both providers have employees working directly out of the Department of Correctional Services setting, creating a confluence of services for the client. Clients are afforded intensive treatment within the correctional milieu by the treatment team which includes a Residential Probation/Parole Officer, Mental Health Counselor, Substance Abuse Counselor, Residential Officer Supervisor, Program Supervisor, Transitional/Aftercare Probation/Parole Officer, and a Psychologist. The team participates in "cross-training, which requires clinicians and programs, rather than clients, to make treatment compatible" (Drake, et al., 1996).

Funding streams and financial structures were modified to facilitate service coordination. "The resources available to multiple systems are blended and/or shared to ensure that services are configured in a way that meets the individualized needs of clients rather than the needs of the system or providers offering care" (Gains Center, Summer 2000). The Dual Diagnosis Offender Program is supported by Federal, State, and County funding. Ongoing communication with the local Central Point of Coordination (CPC) providers continues to ensure best funding efforts with individualized clients. The CPC office is the county office that manages the service area dollars, which is money allocated for providing non-medical services to persons with disabilities.

#### Challenges in the Treatment and Supervision of Offenders with Co-occurring Diagnosis

The presence of co-occurring mental health and substance abuse disorders generally indicates a poor prognosis for involvement in treatment (McLellan, 1986; Weiss, 1992) and compliance with medication (Drake, Osher, and Wallach, 1989), and

is associated with greater rates of hospitalization (Safer, 1987), more frequent suicidal behavior (Caton, 1981), and difficulties in social functioning (Evans and Sullivan, 1990). The vast majority of individuals with co-occurring disorders are not involved in treatment (Grant, 1997).

Accurate assessment of co-existing disorders also presents difficult challenges due to residual effects of addictive substances that may mask or mimic psychiatric symptoms. Dually diagnosed individuals may present with acute psychiatric symptoms such as anxiety and depression that may interfere with traditional forms of substance abuse treatment, and more often require hospitalization or participation in intensive mental health services (Evans and Sullivan, 1990; Pensker, 1983). Involvement and retention of offenders with co-occurring disorders in treatment are often difficult, due to rationalization and blaming others for their difficulties, distrust of service providers, and sudden changes in psychiatric symptoms (Peters and Hills, 1997).

This population is also thought to be at greater risk for relapse following release from custody (Weiss, 1992). Therefore, "treatment tailoring through reassessment requires the consideration that offenders with two concurrent diagnosis may present very defiantly, depending on length of incarceration, time since use, evolution of their expression of their disorder, and impact of treatment programming. These circumstances require that the individual be regularly reassessed to determine what is working in their treatment efforts and what still requires significant intervention. Treatment tailoring acknowledges the varying levels of motivation, ambivalence and treatment readiness that individuals present and conceptualizes current treatment needs accordingly" (Hills, 2000).

It is recognized that poor prognosis for positive outcomes occurs in the following areas for this population (Hills, 2000): engagement and involvement in treatment; compliance with medication; greater rates of hospitalization; more frequent suicidal behaviors; and difficulties in social functioning.

Therefore, the Dual Diagnosis Offender Program is working toward the following solutions to address these barriers:

- Enhance the potential of each individual to find a way to live in the world productively within a law abiding lifestyle. Mental health would be stabilized, and the individual would be free of chemical dependency.
- Divert those individuals who would serve lengthy incarcerations in local jails or state institutions.
- To determine those who can best be assisted within a structured community-based treatment milieu, enhanced communication, coordination, and understanding among agencies and professionals to determine is imperative. This should facilitate the client's readiness to engage in establishing a vision.
- Within the treatment milieu the residential officers and the mental health provider work closely together to monitor to medication compliance. The client regularly sees a psychiatrist to modulate medication effects.
- Increasing self-understanding and self-soothing behaviors along with medication compliance and remaining clean and sober appear to be lessening hospitalizations and, to some degree, suicidal ideation.

- Create opportunities for positive interpersonal interactions.

#### What Should Effective Treatment Involve? Program Components

"A series of core principles have emerged to focus treatment providers on how to optimize treatment outcomes for offenders with co-occurring disorders. Treatment participants have to become invested in treatment, understand the need to continue their connection with treatment over time, and must be offered services that meet their needs. This can be achieved by focusing on the following concepts: treatment engagement; treatment continuity; treatment comprehensiveness; and continued treatment tailoring through reassessment" (Hills, 2000).

Potential program participants are referred to and screened by the DDOP psychologist to determine eligibility for program placement and county funding for rent maintenance, medication, and medical bills. Appropriate clients are then court-ordered to the program for one year or until maximum benefits are achieved. Clients may also be ordered into the program by the Board of Parole. The minimum treatment period is 180 days.

From the clinical and research literature, several key principles have recently emerged to guide the design of treatment programs for individuals with co-occurring disorders in the justice system (Hills, in press). They include the following.

#### Individualized Programming to Address Symptom Severity and Skill Deficits

The multi-disciplinary treatment team should meet prior to development of an individualized treatment plan to review different perspectives regarding diagnosis, onset of disorders, and interactive effects of disorders. The proposed treatment plan is then discussed with the offender to incorporate his impressions and to receive comments and suggestions that are consistent with his own therapeutic goals (Hills, in press).

Following screening, the client is placed on a waiting list and the client's history is reviewed with the treatment team in preparation for his entry into the program.

#### "Phased" Treatment Interventions with Graduated Intensity

Offenders with co-occurring disorders appear to achieve the greatest benefit from highly structured psycho-educational treatment approaches. Early phases include emphasis on orientation, assessment, development of treatment plan, motivation, engagement, persuasion. Didactic secondary phases focus more on coping skills, life skills, lifestyle change issues, and cognitive-behavioral interventions. Later phases may include mentor activities, vocational training, and linkage with community peer support and treatment groups (Hills, in press).

Similar to other treatment programs designed to treat co-occurring illnesses, the phases developed in the Dual Diagnosis Offender Program are designed to "establish a long-term plan for treatment that meets the requirements of the legal system and promotes the individual's understanding of the relationship between co-occurring disorders and criminal history" (Hills, 2000).

Phase One begins when the client is oriented to the facility setting, structure, and expectations with a residential officer. The client also meets with the probation officer to begin initial orientation to the Dual Diagnosis Offender Program goals and expectations.

#### Individualized Service Plans

Individualized service plans arise out of intensive evaluations and interactive consultation with multi-disciplinary input. Conclusions generated from differing disciplinary perspectives must be reconciled so that a comprehensive, integrated treatment plan can be created. Decisions can then be made about the initial therapy goals (Hills, 2000).

#### Varied Treatment Approaches

Treatment approaches include motivational interviewing that is focused on prompt responses to difficulties in thinking, as well as changes in response due to withdrawal or incremental acclimation to psychotropic medication. Educational components focus upon understanding how major mental illnesses affect individuals and their family systems, including poor self-image that lead to tendencies to withdraw from social contacts, and to engage in dysfunctional behaviors, including controlling fantasies (Peters and Hills, 1997).

During the initial thirty days the client is assessed by the treatment team. An extensive social history is completed by the mental health provider, which includes assessment of his current psychopharmacological interventions. The substance abuse counselor meets regularly with the client to address the client's current or recent pattern of alcohol or drug use and develop treatment goals. The probation officer completes a Level of Service Inventory Revised (LSI-R) to determine the client's dynamic and static risks and needs.

Treatment services should address individualized cognitive abilities as well as level of motivation, and be comprehensive and flexible. (Hills, in press). The psychologist schedules a meeting thirty days after the client has entered the program. The team and the client then create an integrated and individualized treatment plan. During this Orientation Phase the client also becomes involved in the daily group treatment schedule. "While an understanding of the interaction between the co-occurring disorders may be an initial focus of treatment, later interventions are likely to deal with complex interpersonal skills and vocational difficulties" (Peters and Hills, 1997).

The Orientation Phase is followed by two treatment phases, each lasting approximately 60 days. The client is able to move through these phases upon completion of self-directed goals based on the individualized treatment plan. The client must take the initiative to have each treatment provider sign off on a check list agreeing that the client has met his specific goals. Treatment intensifies during the two treatment phases as patterned problematic behaviors become evident, so the potential exists for the client to be able to gain understanding into his previous choices that have caused problems and to learn new behaviors. Focus on supportive relationships becomes critical.

There is an emerging consensus from the past twenty years of studies that treatment must focus on building cognitive and interpersonal skills. Treatment plans must address the individual's specific deficits (Hills, 2000). The Dual Diagnosis

Offender Program offers structured individual and group treatment provided by the treatment team. Group content includes cognitive behavioral treatment, and psycho-educational groups designed to create greater awareness of both substance abuse and mental health issues. Process/issue groups allow focus on immediate issues. Clients also participate in community awareness/recreation groups.

Clients are also involved in community services, including AA/NA meetings, GED courses, Vocational Rehabilitation Services, community service work, church activities, psychiatric, and medical appointments. The individualized treatment plan drives all services.

Available family/support persons are encouraged to participate in family therapy with the psychologist, and are invited to family educational groups which are provided periodically with team members. These groups are designed to provide support and education regarding issues surrounding co-occurring illnesses as well as community resources. Family members may also be referred to a weekly family group provided by Pathways Behavioral Services, which focuses on education and peer support.

#### Treatment Linkages

As most sentenced offenders are eventually returned to the community, treatment planning must consider linkage issues. Post release planning must begin at the point of contact of any individual (Hills, 2000). The initial treatment plan includes short term goals focused more on stabilization and adjustment, but also with long term goals that are planning for discharge and transition into the community. It is hoped that most short term goals are completed near transition so that when the client enters the continuing care component focus is upon maintaining a healthy lifestyle, which would include adequate housing, positive companions, support groups, etc.

A broad range of services available over several years appears to offer the best hope for achieving symptom stabilization and early abstinence (Peters and Hills, 1997).

A grant was secured to hire a probation officer to oversee discharge and aftercare planning. This officer participates in staffings as the client nears transition and assists the client through supportive case management, which includes individual counseling, group treatment, and extensive partnering with community services. The client is familiar with this provider since he conducts one of the treatment groups during their residential treatment program. This officer is well acquainted with local supporters of dually diagnosed clients. Working closely with the entire team, this officer is able to bring transitional clients back to the facility via "respite beds" should the client relapse or demonstrate behaviors that suggest he needs structure to stabilize.

#### Outcomes

For the first four fiscal years, the program served approximately 43 to 49 clients per year. During the year of 2001, 29 clients were discharged from the program. Of the total population of 45 served that year, ten of the clients were removed from the program and three escaped, while 16 were discharged successfully. The successfully discharged served an average of 239 days. Those who escaped served an average of 43 days, and

those who were removed were residents for approximately 116 days. It seems those who were not well suited to the program were identifiable by the end of the orientation phase. Those who were removed had actually started treatment but were uncooperative for any number of reasons, including arrests for new criminal charges while in the program.

The data suggests that unsuccessful discharges may have been related to screening of clients with issues that this program is not capable of adequately addressing. For example, those who escaped or were removed, in general, tended not to have engaged initially.

At of this writing, during the year 2002, 46 clients have been served, six of which have escaped after an average of 56 days, and five were removed after an average of 89 days. It appears the team is becoming better at screening out clients the program is not equipped to assist, and redirecting them to facilities better suited to their needs. Eighteen clients have successfully discharged, serving an average of 197 days. Of those being successfully discharged, a greater percentage of them are able to work productively in the community at least part time.

**Current Barriers**

**Confidentiality Issues/Parallel Treatment**

"Because persons with co-occurring disorders are often seen in multiple service settings, increased communication is required among service providers. This process often becomes complicated by service providers' reluctance to share information from their clinical records, most often, based on reasonable, clinically-based concerns about the appropriate use of records" (Peters and Hills, 1997).

While licensing regulations have previously caused contracted agencies to express concern regarding sharing client collateral information, communication gaps are narrowing. Each providing entity now includes their paperwork in a united file, has access to united email, and is able to access the summary log, which is a detailed summary of the current activities of the clients on their unit. Each entity is also able to read the chronological compilation of services/interactions generated by the Department of Correctional Services.

**Reliance on Publicly Funded, Community-based Services to Pay for Rent, Medication, and Psychiatric Appointments**

"Offenders with co-occurring disorders must often rely on these services as they lack the resources to pay for treatment. As a result, they must compete with other low-income individuals to receive adequate and timely service. As public dollars for community services have become more scarce, dual diagnosis treatment services have become more difficult to obtain" (Peters and Hills, 1997).

While emergency clients are usually funded, the majority of others are placed on a waiting list which includes a larger list of many needing funding within the community. Those placed on that waiting list are usually not funded. Additionally, clients lose all benefits upon entrance to the correctional facility. Also, the reapplication process takes several months upon the client's release to the community which threatens medication compliance and other pertinent issues. Sharing of financial resources between community entities continues to be an issue.

**Limitations Imposed by Grants**

Current grant regulations disallow the use of overnight furloughs while clients are in the residential component of treatment. All treatment is funded by grant dollars. Therefore, when the client actually transitions to the community they have not actually been able to put into practice new healthy coping behaviors.

**Conclusion**

The First Judicial District Department of Correctional Services, working with community partners, has made strides to provide meaningful treatment options to offenders who suffer from co-occurring substance abuse/dependence and severe and chronic mental illness disorders. As with all interagency projects, however, there must be a continuous effort to maintain and enhance the relationship.

**Solutions**

In an effort to improve interagency cooperation, several strategies have been adopted. The Department of Correctional Services plans to:

- continue regular communication with treatment service providers;
- hold monthly meetings to collaborate with the local Central Point of Coordination persons to prioritize client needs; and
- consider possible solutions other communities have pursued and adopted.

**Future Endeavors**

As for the future, the department, working with its community partners, plans to:

- continue to focus on client engagement and individualized goals;
- continue to engage publicly funded community based services; and
- create/increase gender-based treatment for females who experience co-occurring disorders within community corrections.

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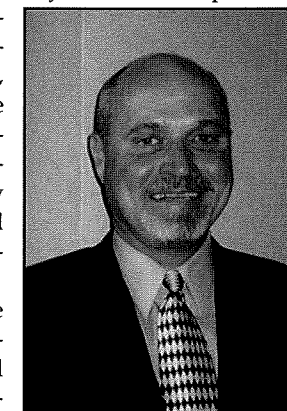
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**NEWS FROM THE FIELD**

**CZAPLICKI RETIRES**

On December 30, 2002, **E. Robert Czaplicki** will retire as Commissioner of the Onondaga County Probation Department in Syracuse, New York. After serving with the First Air Cavalry Division in Vietnam in the early 1970s, where he was decorated with the Bronze Star and the Army Commendation Medal, Czaplicki entered the State University of New York at Brockport, where he earned a bachelor's degree in speech communication in 1973.



E. Robert Czaplicki

In May 1974 he joined the Onondaga County Probation Department as a probation officer, and the rest is history. During a distinguished career that exceeds a quarter of a century, Czaplicki assumed positions of increasing responsibility, culminating with his appointment as Commissioner in July 1986.

As Commissioner, Czaplicki was recognized as a community corrections leader in New York. In addition to serving on a number of county committees relating to juvenile justice and criminal justice issues, from 1989 to 1991 he served as President of the New York State Council of Probation Administrators. From 1996 to 2001 he was a member of the Citizens Complaint and Policy Review Council for the New York State Commission of Corrections.

Czaplicki has served as a member of the Board of Directors of the American Probation and Parole Association and as the Mid-Atlantic Regional Representative on the Board of Directors of the National Association of Probation Executives.

As a result of his dedication, innovation, and leadership, Czaplicki has been the recipient of several awards. In 1998 he was presented with the *Mutual of America Community Partnership Award* for an innovative and cost efficient juvenile justice program. In 2001 Czaplicki was given the *YWCA Diversity Award* for increasing minority probation officer in his department from seven percent to 17 percent. In 2002 the National Association of Probation Executives recognized him as the out-

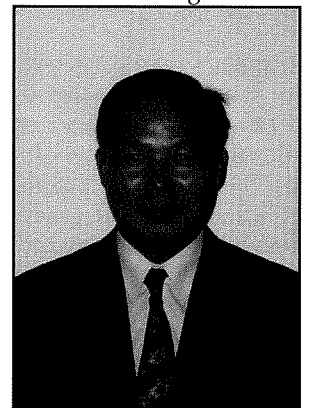
standing probation executive of the year by presenting him with the *Sam Houston State University Award*.

Czaplicki has been a driving force in promoting a rational approach to the delivery of adult and juvenile probation services, and his day-to-day presence in the trenches of criminal justice will be missed.

**NAPE MEMBERS HOST KOREAN PROBATION OFFICIALS**

During the past few months several NAPE members have had opportunities to meet and exchange views with probation officials from the Republic of Korea, as a result of a relationship between the Correctional Management Institute of Texas and the Korean Ministry of Justice. In 2001 the Institute, which serves as the secretariat for the National Association of Probation Executives, entered into a formal relationship with the Korean Ministry of Justice to host correctional practitioners interested in learning more about the criminal justice system in the United States. As a result, the Institute, under the direction of NAPE past President **Dan Richard Beto**, has hosted scholars and institutional corrections professionals from Korea. More recently, representatives from the field of community corrections have begun to visit Texas.

In July 2002, **Jae-Jun Jeong**, Assistant Director of the Juvenile Justice Department and on temporary assignment with the Korean Institute of Criminology, visited Texas. During his brief stay, Jeong met with Beto and NAPE member **Melvin Brown, Jr.**, to discuss innovative community corrections programming. Jeong was also provided tours of the Montgomery County Juvenile Detention Center in Conroe and the Hamilton State School, a facility of the Texas Youth Commission, in Bryan.



In August 2002, **Young-Jae Lee**, Probation Division Director from Seoul, arrived in Texas for an extended stay of two years. Since his arrival, Lee has attended training

programs of the Texas Probation Training Academy and participated in the 30<sup>th</sup> Annual Texas Chief Probation Officers Conference at Sam Houston State University. In addition, he completed Officer Safety Training offered by the Center for Project Spotlight and attended the Executive Development Program for new probation and parole executives. As a result of attending the Executive Development Program, Lee became a member of the National Association of Probation Executives.

During the various training programs, Lee was able to meet and get to know a number of NAPE members, including President **Ron R. Goethals**, past President **Robert L. Bingham**, NAPE Board Member **Larry D. McKinney**, **Joanne Fuller**, **Eddie Gonzalez**, **Carey D. Cockerell**, **Arlene Parchman**, **Elmer Bailey**, **Tom Plumlee**, **Rick Zinsmeyer**, **Leighton Iles**, **Mary Alice Alfred**, **Diedre K. Gunkel**, **James Redus**, and **Larry Tinsley**. In addition to participating in formal training programs, Lee has visited a number of probation departments and correctional facilities, and will continue to do so for the remainder of his stay in the United States.

In November 2002, **Woong-Jang Yoon**, Assistant Director of the Suwon Probation and Parole Office, and **Jang-Myeon Jeong**, a Probation Officer assigned to the Seoulnambu Office, visited Texas as part of a trip across the United States. While in Texas they toured the Harris County Juvenile Probation Department and Detention Center in Houston and the Montgomery County Department of Community Supervision and Corrections in Conroe. In addition to meeting with Beto and Brown, Yoon and Jeong visited with **Michelle Broselow** and **Amanda Bilnoski** with the Texas Probation Training Academy.

**PLATT RETIRES IN TEXAS**

**Nancy Platt**, Director of the Harris County Community Supervision and Corrections Department in Houston, Texas, retired in September 2002, following two decades of service. Platt was named Director in 1995, following 15 years of service with the department. Prior to assuming the top job, she served as a probation officer, regional supervisor, training director, and special assistant to the Deputy Director.

Prior to joining the Harris County department, Platt worked in juvenile probation in Ohio, served as scholarship administrator for the Moody Foundation in Galveston, Texas, and was a social worker for the Harris County Children's Protective Services.

Effective October 1, 2002, **Mike Enax** began service as interim Director of the department. A nationwide search is underway for a permanent replacement.

**EXECUTIVE DEVELOPMENT PROGRAM HELD**

On September 23-27, 2002, another Executive Development Program for new probation and parole executives was held at the George J. Beto Criminal Justice Center on the campus of Sam Houston State University in Huntsville, Texas. This program, which has been offered twice a year since 1997, is a joint initiative of the National Institute of Corrections, National Association of Probation Executives, and the Correctional Management Institute of Texas.

The faculty, comprised of members of the National Association of Probation Executives, included **Ron R. Goethals** and **Dan Richard Beto** of Texas, **Don R. Stiles** and **Diane L.**

**McGinnis** of Arizona, **Bernard Fitzgerald** of Massachusetts, and **Dot Faust** of Washington, D. C. Topics covered during the week-long program included management styles, strategic planning, working in the political arena, changing the organizational culture, media relations, presentation skills, reinventing community corrections, and dealing with fiscal issues. Time was also devoted to addressing specific problems raised by the participants. In addition to presentations by the peer faculty, **Rolando V. del Carmen**, Distinguished Professor of Criminal Justice at Sam Houston State University, conducted a seminar on legal liabilities faced by correctional administrators.



Faculty and participants of the Executive Development Program

Probation and parole executives from Hawaii, Iowa, New York, New Jersey, New Mexico, Ohio, Oregon, Pennsylvania, and Texas attended the program, as did a probation director from the Republic of Korea, who is spending two years in Texas to study community corrections.

**Christie Davidson** and **Sharese Whitecotton** with the Correctional Management Institute of Texas managed program logistics and **David Epps** with the Criminal Justice Center provided technical support. The Institutional Division of the Texas Department of Criminal Justice assisted by providing transportation between Houston Intercontinental Airport and the Criminal Justice Center.

Two Executive Development Programs for new probation and parole executives have been scheduled for 2003. Association members who are aware of newly appointed probation executives in their area of the country are encouraged to contact the Correctional Management Institute of Texas at (936) 294-1675.

**NEW MEMBERS JOIN ASSOCIATION**

Since the last issue of *Executive Exchange* was published, eighteen new individual members have joined the Association. The new members include:

- Barbara Ann Barmore**, Deputy Director, Curry County Community Corrections, P. O. Box 1198, Gold Beach, Oregon 97444.
- Sandra Brulo**, Chief Juvenile Probation Officer, Luzerne County Juvenile Probation Department, 280 North River Street, Wilkes-Barre, Pennsylvania 18702.

**Russ Cilibraine**, Administrative Assistant, Field Operations Administration, Michigan Department of Corrections, 206 East Michigan, Lansing, Michigan 48933.

**Judith Cox**, Chief Probation Officer, Santa Cruz County Probation Department, P. O. Box 1812, Santa Cruz, California 95061-1812.

**Mary M. DeLeo**, Assistant Director, Administrative Officer of the Courts, Probation Services Division, P. O. Box 987, Trenton, New Jersey 08625-0987.

**Sara Tullar Fasoldt**, Director, New York State Division of Probation and Correctional Alternatives, 80 Wolf Road, Suite 501, Albany, New York 12205.

**John A. Fuhrman**, Acting Chief Probation Officer, Bergen County Probation Division, 133 River Street, Hackensack, New Jersey 07601.

**Wayne A. Geltz**, Director, Lancaster County Adult Probation and Parole Services, 40 East King Street, Lancaster, Pennsylvania 17602.

**Bob Grindstaff**, Director, Jackson County Community Justice, 1101 West Main, Suite 101, Medford, Oregon 97501.

**Sharon Haines**, Superintendent for Field Services, Division of Parole and Community Services, 1050 Freeway Drive North, Columbus, Ohio 43229.

**Tommy Johnson**, Executive Director, Hawaii Paroling Authority, Department of Public Safety, 1177 Alakea Street, 1<sup>st</sup> Floor, Honolulu, Hawaii 96813.

**Young-Jae Lee**, Probation Director, Bureau of Social Protection and Rehabilitation, Korean Ministry of Justice, currently a visiting scholar with the Correctional Management Institute of Texas at Sam Houston State University, Huntsville, Texas 77341-2296.

**Len Morgenstern**, Director, Johnson County Community Supervision and Corrections Department, 102 South Main Street, Cleburne, Texas 76033.

**Mark Pickle**, Chief Probation Officer, Bernalillo County Metropolitan Court, P. O. Box 133, Albuquerque, New Mexico 87103.

**William S. Schoemann**, Chief Juvenile Probation Officer, Lynn County Juvenile Probation Department, P. O. Box 1166, Tahoka, Texas 79373.

**Gary Sherzan**, Director, 5<sup>th</sup> Judicial District Department of Correctional Services, 1000 Washington Avenue, Des Moines, Iowa 50314.

**Randy Turner**, Director, Oklahoma County Juvenile Bureau, 5905 North Classen Court, Oklahoma City, Oklahoma 73118.

**John Wilmoth**, Chief Probation Officer, Uvalde County Community Supervision and Corrections Department, Courthouse Square, Box 7, Uvalde, Texas 78801.

In addition to the new individual members, the Association received an additional organizational member:

**International Corrections and Prisons Association (Jennifer Oades**, Executive Director), 159 Gilmore Street, Ottawa, Ontario K2P 0N8, Canada.

Finally, a new corporate member has joined the Association:

**BI, Incorporated (Monica Hooks**, Marketing Communications Manager), 6400 Lookout Road, Boulder, Colorado 80301.

**Membership Application (TAX # 58-1497263)**

NAME \_\_\_\_\_ TITLE \_\_\_\_\_

AGENCY \_\_\_\_\_

ADDRESS \_\_\_\_\_

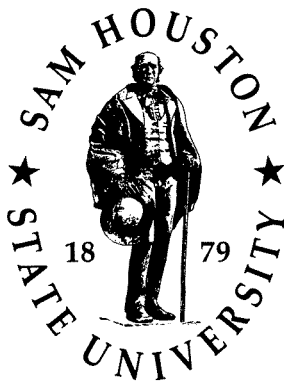
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| <b>CHECK</b> | Regular        | <input type="checkbox"/> \$ 50 / 1 year  | <input type="checkbox"/> \$95 / 2 years | <input type="checkbox"/> \$140 / 3 years |
|              | Organizational | <input type="checkbox"/> \$ 250 / 1 year |   |  |
|              | Corporate      | <input type="checkbox"/> \$ 500 / 1 year |   |  |

Please make check payable to **THE NATIONAL ASSOCIATION OF PROBATION EXECUTIVES** and mail to:

NAPE Secretariat  
 ATTN: Christie Davidson  
 Correctional Management Institute of Texas  
 George J. Beto Criminal Justice Center  
 Sam Houston State University  
 Huntsville, Texas 77341-2296  
 (936) 294-3757



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