

National Association of Probation Executives EXECUTIVE EXCHANGE

ISSN 1075-2234

WINTER 2003

PRESIDENT'S MESSAGE

Sometimes it is very difficult to find the silver lining in the rain cloud. So it is now with a bleak financial outlook confronting almost every probation and parole department in the United States. As I visit with chiefs from across the nation, I detect very little optimism and even less good humor. Some decision-makers are confronted with downsizing, shrinking the organization through attrition, and the associated problems of increasing workloads and deteriorating morale. Others are confronted with the closure of highly successful programs. And still others are confronted with actual layoffs and the resultant impossible workloads.

I speak not only from observation, but also from experience as the Texas House Appropriations Committee has recommended a fifty-two percent cut in state funding for probation, eliminating all grant funded programming, and dramatically increasing the size of case-loads. I relate the Texas circumstances so that it will be known that my perhaps Pollyannaish message is formulated while I deal with a possibly devastating scenario. So here I go with the silver linings that I see in this storm cloud.

First, I think men of character are best discovered in trying times. As chiefs begin to reallocate their diminishing resources, the temptation will be to take the course of least resistance. Frequently the appropriate course of action will have no interest group campaigning for its adoption. Vendors, politicians, and labor will have loud voices recommending, if not demanding, specific considerations. It will take men of great character, leaders, to remain focused on mission, vision, and values. The payoff for steering this course will not be imme-



diately evident. Criticism, not praise, will be the common reaction. Just as steel is tempered by the addition of heat, so will these leaders be stronger and more resilient because of the hardship. And after the financial crises have passed these leaders and their organizations will be conspicuous by their rapid advances and superlative outcomes. Although the near term future may be unpleasant, it will expose our best leaders and serve to make them better than they were.

Finally change comes slow, if at all. Sure we manage minor innovations from time to time, but substantial change can only occur rapidly in a time of crisis. When resources are scarce or unavailable, closed minds open. No idea is so outlandish that it does not merit consideration. These are the times when major philosophical and structural changes occur. "Necessity is the mother of invention." I suspect that the next few years are less likely to produce new effective programs and more likely to generate new structure and approaches to

how we do our business.

As recent as the early nineties our profession was experiencing a financial crisis that dominated our discussions and our literature. That crisis passed, as I am confident the current one will. History would teach us that the negative effects of the current crisis would likely be short-lived. However, in my Pollyannaish view, current events will grow leaders and give rise to major changes that will positively impact our profession for decades.

Ron R. Goethals
President

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GUEST EDITOR'S MESSAGE

In this issue we will focus on psychology and the way this discipline can and/or should interact with our criminal justice system. Since the criminal justice system deals specifically with the behavior of offenders, it makes sense that we turn to the field of psychology, which focuses on the study of human behavior, to further inform our work. At the same time, it is important to acknowledge that our "real world" experience of dealing with offenders can also advance psychology's understanding of human behavior.

In the article on collaboration, Dr. Chris Eckhardt focuses on this theme by suggesting that both criminal justice and psychology professionals approach this work with the view that we don't know as much as we think we do. With such an attitude, we can be more open to the knowledge and perspective of our colleagues, thereby improving the chance that we all increase our understanding of offenders. Dr. Eckhardt also advocates for true collaboration between academics and practitioners. While this is certainly an idea that has been around for decades, our increasing awareness of the complexity of our field, as well as the need to provide practical proof that supervision works, make this an ideal time for true collaboration. Through practical suggestions on how to find quality academic researchers, Dr. Eckhardt provides us with the opportunity to take on this challenge.

Dr. Teresa May-Williams also provides a strong argument for the use of psychological research in community corrections. In her article, she gives us an example of how research studies can better inform our decisions regarding utilization of resources. As we continue to experience limited funding of community supervision, and in many states severe cuts to funding, it is imperative that we find ways to make our departments as cost-efficient as possible. Though many consider research a luxury, Dr. Williams provides evidence that research may in fact be a luxury we can't afford not to have. Both Dr. Williams and Dr. Eckhardt provide suggestions for low-cost, and sometimes free, ways to complete research projects.

In Dr. Robert A. Shearer's article we look at some of the challenges that confront us as we try to implement programs that appear to "work." While Dr. Shearer exposes us to many of the problems in the "what works" principles and interventions, he also encourages us to con-

sider whether partially implementing programs is better than not implementing them at all. Since it is unlikely that we will ever have the resources (financial or otherwise) to implement programs at the highest level of quality and quantity, it is important for us to critically consider how partial implementation may still significantly impact criminal behavior. Again, this is an area ripe for psychologists and criminal justice professionals to explore through research.



Finally, we consider how the field of psychology can impact our work in terms of our employees. Working within our departments we often think about the psychological or behavioral aspects of our offenders, but rarely consider these principles in relation to our employees. In reality, these principles of motivation, behavior change, and skill development apply as much to our employees as they do to our offenders. So as we look at ways to improve our departments and challenge our employees to employ different interventions with our offenders, we must also remember that they too will be resistant to change. We must also consider that certain employees may be better at working with some of our offender populations (such as

sex offenders) than others. For example, how do we go about choosing potentially effective officers, and how do we assign them to a caseload? In this issue, Dr. Scott Herrmann and Mr. Jeffrey Stone provoke us to consider using psychological testing to help make these decisions. Dr. Shearer has also previously presented information about how we might match officers with offenders, based on officer profiles (see *Executive Exchange*, Winter 2000). Again, this is an area where psychological principles and research may improve our capabilities.

All of these articles are intended to challenge us to think more about what we know (or what we think we know), how we can improve our knowledge, and how we can use the insights of psychology to further the field of criminal justice. I hope you find them thought provoking.

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COLLABORATING WITH ACADEMIC DEPARTMENTS: LEARNING TO LOVE DOUBT AND UNCERTAINTY!

by

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"I believe that to solve any problem that has never been solved before, you have to permit the possibility that you do not have it exactly right. Otherwise, if you have made up your mind already, you might not solve it." (Richard Feynman, 1963)

In this paper, I hope to convey the important benefits that can result from collaborations with university-affiliated researchers who have interests in the phenomena you deal with on a daily basis in departments of probation. The short version of this paper is neatly reflected in the above quote by Feynman, a Nobel laureate in physics and all-around genius: Whether you are working within a probation department or you are an academic researcher, it's imperative to resist the comfortable answers to the most difficult problems because you don't know as much as you think you do! By working together, you not only have more reliable information from the methods of science that you can put to use as a probation executive, but the researcher has critical first-hand information that directly informs that individual's science and the field as a whole. When it works well, everybody wins.

Overview

The world is replete with people who claim to have the answers to just about everything (think of the last workshop you attended!), and as comforting as their messages might be, such individuals do a grand disservice to the advancement of knowledge. In a human-service setting, knowledge is often constrained by personal experience, advice, and personal biases. No doubt, you can think of coworkers in your own departments who have ever-present "rules of thumb" about what certain kinds of people are like, or have otherwise elaborate ideas about how they (and everyone else) should do their job. Want to know what predicts who gets rearrested for domestic assault? They've got the absolute and final answer for you! In and of itself, personal experiences, the hot new book, the insightful lecture, or the mandatory workshop might be effective on a day-to-day basis, but they are limited and self-selected sources of information — they are your experiences and your sources of knowledge, and they do not represent all that is known about that area. These sources of knowledge unfortunately convince us that we know more than we really do.

Likewise, in academic settings, we often learn about our subject of interest from experiences in the laboratory, reading the hot new journal article, hearing the interesting guest speaker, or getting advice from another expert in our research area. I've had colleagues who professed to have grand theories on what causes domestic violence solely on the basis of a single laboratory experiment or the influence of a particular journal article. Again, these sources of knowledge are fine, and are arguably more reliable than personal experience, but are necessarily limited by what they leave

out. You would think that scientists, trained to respect the nature of probability and uncertainty, would not fall prey to this bias, but we frankly think we know much more than we really do.

I would make the case, and perhaps it's an obvious one to many readers, that individuals working within probation departments can benefit from the methods and perspectives of academic researchers, and researchers can directly benefit from the personal experience and "clinical wisdom" of probation workers. Each is dedicated to the same subject matter and has similar goals, namely to understand the nature of criminal behavior and effectively intervene to reduce the occurrence of such behavior. Each has unique ways of approaching the subject matter, and each is fairly convinced that they've got the answers to solve the problems of interest, but each suffers from gaps of knowledge that ultimately make them less effective in their respective fields when working separately than if working collaboratively. As most would agree, the subject matter relevant to departments of probation is complicated (to say the least), with the criminal justice outcomes of interest determined by a multitude of influences and resistant to simple explanations. Unfortunately, however, easy answers tend to be prescribed for the most complicated issues that we face, and it is precisely those easy answers that stop the process of asking questions and thinking critically about the available decision rules.

The Domestic Violence Example

For example, take the issue of mandatory batterer's intervention programs (BIPs) for men on probation for misdemeanor domestic assaults. On the one hand, this requirement makes sense — let's give these guys something rehabilitative so that the seemingly endless domestic violence cycle could be broken. But do these programs really work? Well, if you talk to advocates or counselors from these agencies, the answer is a hearty "Yes"! In fact, in most jurisdictions, pity the judge or probation executive who dares suggest that domestic violence offenders might benefit from something OTHER than BIP (e.g., intensive monitoring). Because of this, many people within the criminal justice setting mandate that abusers attend BIP groups, and issue reprimands when a session is missed or a negative agency report is received. But here's the influence of what Feynman was saying in the quote at the start of this article: If we're 100% convinced of the answer to a problem, we close our eyes to other evidence and information that might turn out to be useful. So, is there any evidence that BIPs are effective? A variety of research groups have examined this vexing problem. In the largest single study to date, Gondolf (e.g., 1997) studied 840 batterers from four U.S. cities and found that there was indeed a measurable effect of BIP, such that completers were less likely to reoffend than those who dropped out of BIP, with the extent of recidivism linearly related to the number of BIP sessions com-

pleted. Many agencies at the federal, state, and local levels point to this study as clear evidence that mandatory BIP is the way to go with domestic violence perpetrators. And there it is — the clear answer that solves the problem, right? Well, only if you absolutely need the answer to be yes! If you don't, a little doubt and uncertainty might lead you to reconsider.

One of the benefits to collaborating with a researcher or group of researchers is that they can potentially bring the inherently critical perspective that defines scientific inquiry to bear upon recommendations that, on the surface, appear useful. For example, the primary problem with the Gondolf study (and others like it) is that the researchers did not include a control group of batterers who received a different intervention or no intervention at all. Thus, while Gondolf's evidence suggests that BIP works, the question that should remain in your mind is, "works better than what?" To answer this question, one would ideally assign batterers randomly to receive the standard treatment (usually group BIP counseling) or an alternative intervention (e.g., normal probation monitoring; intensive probation monitoring; individual counseling), and collect criminal justice outcomes at relevant follow-up periods. This approach would be the ultimate gauge concerning whether standard BIP programs are actually effective. Studies such as this have actually been completed, most notably by Lynette Feder of the University of Memphis (see Feder & Forde, 2000) and Frank Dunford (2000) at the University of Colorado. While the studies differ slightly in their approach and their participants, the outcomes are strikingly similar: batterers assigned to receive standard BIP fared no better in terms of dropout or recidivism than those assigned to probation monitoring or no intervention whatsoever. Overall, a recent quantitative synthesis of research articles on BIP effectiveness has reported that such programs, regardless of the kind of treatment offered, show only minimal influences on recidivism and rearrest (Babcock et al., in press). In fact, these same researchers note that *with* treatment, the data indicate that batterers have a 52.5% chance of being successfully nonviolent, and *without* treatment, they have a 47.5% chance of maintaining nonviolence! It remains to be seen whether a 5% success rate attributable to BIP programs is cause to celebrate.

But do these data solve the BIP matter any more conclusively than the Gondolf study, or the agency advocate who touts the effectiveness of their services? Of course not, but it suggests that BIP effectiveness is a very complicated issue about which we know relatively little. So let's embrace the lack of knowledge instead of covering it up with an easy answer. And it is precisely those areas that are ripe for collaborative opportunities between researchers and probation departments. No doubt there are quite a few similar issues that confront your department that need to be addressed, that you're getting a lot of input on in terms of the "right" decision you ought to make, but that ultimately are so complex that the answer is unclear. Again, these are situations that are tailor-made for probation-university partnerships.

What To Do

Chances are, there are researchers in your backyard (or close to it) that would love the opportunity to collaborate on the difficult questions you're trying to answer! Perhaps the most directly relevant department to collaborate with would be a Criminology/Criminal Justice Studies department, although some Criminologists are also housed within departments of Sociology and Anthropology. But you may also find researchers to partner with in de-

partments of Psychology, Social Work, Law, Women's Studies, and Psychiatry. Where to go first? It depends in part on your needs. If you have questions about the analysis of data you already have, researchers from just about any scientific discipline could be helpful. If the questions that confront you become more specific, the scientific backgrounds of potential collaborators should also be more specific. For example, if you have concerns or questions about matters relating to assessment, measurement, and intervention, psychology departments should be your first stop since the scientific study of those issues often underlie the discipline. Departmental websites are an excellent way to examine the research interests and current publications of potential collaborators.

If you initiate contact with the researcher, it is important to recognize two issues. First, in many situations the researchers need you more than you need them! This is especially true for junior faculty (those at the assistant professor level) who need access to large numbers of research subjects to engage in the kind of research that will keep them in good standing within their universities. So, your phone call should be welcomed with excitement; if not, look elsewhere. Likewise, if meetings are constantly being cancelled by the researcher and they seem to be an unwilling participant in the collaboration, look elsewhere. Second, not everyone with a university affiliation is a researcher. Check out the research credentials of the person you want to contact and make sure that they are indeed able to help you meet your particular needs. This can be done by examining their recent publications and, if necessary, using library resources to do a search on a publication database (such as PSYCINFO) to see abstracts of recent journal articles. Better to have no relationship than a relationship with the wrong individual.

If you are contacted by a researcher, there are a couple of potential reasons why they are contacting you. One possibility is that they are new to the area, have research interests that overlap with the probation department, and they want entry into your system. This usually has excellent potential for all involved, as you can work with an expert on important issues and the researcher can involve you in new areas on the scientific frontier. The other possible reason for research-initiated contact is that the researcher is applying for grant funding and must demonstrate that he or she can access participants and conduct research within the criminal justice system. In the latter situation, they will want to make a pitch to you and your colleagues in hopes that you will see the positive potential in allowing that person access into your system, and usually this goes well; funded research projects are usually those that have the best chance of advancing our field, typically because of all the layers of peer review and quality control underlying a successful grant proposal. But when it goes badly is when you are subject to what I call the "drive-by" research collaboration — the researcher who wants confirmations that they can access probationers, computers, files, etc., and requests numerous letters (today!) indicating the same, who then disappears when the grant proposal doesn't get funded. This is a major problem, for it conveys to you and your department that you were merely a means to an end, rather than a respected partner to collaborate with for the long-term. The drive-by collaboration hurts everyone and often makes it harder for real collaborations to occur; no doubt people in your departments can tell a story or two of the disappearing researcher!

How can you steer clear of drive-by research collaborations? My advice would be to have mutual meetings involving people from the highest levels of your department who really call the researcher

to task on what the nature of the relationship will be *regardless* of the outcome of the funding decision. If this is indeed a person you want to work with, agree on a set of goals, and construct timelines for completion of those goals. It is not outside the norm to build a *quid pro quo* relationship, whereby you can accommodate the researcher's project-specific request for subjects, records, etc., and in turn you can ask for something directly and practically relevant to your department. This latter product could be a report, a workshop, statistical consultation, a lecture, or anything that directly relates to and assists your work as probation executives.

Ideally, a fruitful collaboration becomes less about individual researchers and probation representatives, and more about groups of people from diverse disciplines that can offer a multitude of perspectives and plans of action for a given criminal justice problem. For example, within the domestic violence area, a useful collaboration might include probation officers, probation psychologists, victim advocates, police representatives, and BIP counselors from the human service front, and sociologists, psychological researchers, criminologists, and social work researchers from the academic front. The divergence of perspectives might indeed be maddening on some topics, especially with regard to the inevitable differences in language and vocabulary that professionals from different disciplines tend to have. Ultimately, however, such an approach would serve to get professionals with similar goals (e.g., the prevention of domestic violence) but dissimilar backgrounds and points of view to recognize that there are more commonalities than differences. For it is just this sort of multidisciplinary, leave-your-egos-at-the-door approach that is the only way we will collectively solve the difficult criminal justice questions that remain.

Conclusion

This is not the first paper to suggest that academicians and front-line professionals get together more often to share ideas and collectively attempt to solve problems of mutual interest. But all of us have probably entered into such arrangements in the past that may have sounded better in the abstract than they turned out to be in

person! What I am suggesting is an outlook that begins with the premise that no one sitting at the table really knows all that much in isolation — everyone involved must first adopt the position that doubt and uncertainty reign supreme. If all can adopt this seemingly drab perspective, there is a high probability for success and a rosy outlook for the future!

"If we did not have a doubt or recognize ignorance, we would not get any new ideas. There would be nothing worth checking, because we would know what is true. So what we call scientific knowledge today is a body of statements of varying degrees of certainty. Some of them are most unsure; some of them are nearly sure; but none is absolutely certain.... If you know that you are not sure, you have a chance to improve the situation. I want to demand this freedom for future generations" (Feynman, 1963).

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- [for a transcript of Feynman's complete 1963 lecture, see Feynman, R. (1998). *The Meaning of It All: Thoughts of a Citizen-scientist*. Reading, Massachusetts: Perseus Books.]

INFORMATION ABOUT EXECUTIVE EXCHANGE

Executive Exchange, the quarterly journal of the National Association of Probation Executives (NAPE), publishes articles, reports, book reviews, commentaries, and news items of interest to community corrections administrators. The contents of articles or other materials contained in *Executive Exchange* do not reflect the endorsements, official attitudes, or positions of the Association or the George J. Beto Criminal Justice Center at Sam Houston State University unless so stated.

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The George J. Beto Criminal Justice Center at Sam Houston State University serves as the Secretariat for the National Association of Probation Executives. *Executive Exchange* is published by Sam Houston Press.

WEIGHING THE COSTS: THE VALUE OF RESEARCH IN COMMUNITY CORRECTIONS

by

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When an aspiring young businessman asked Benjamin Franklin for advice on how to succeed in business, Franklin replied, "Time is Money." Franklin was alluding to the importance of "efficiency" in business — how to get the job done with the least amount of resources. With shrinking budgets and increasing demands for community corrections resources, community corrections executives now more than ever need to find the most efficient way to "get the job done."

The "What Works" literature and various criminal justice journals have been valuable resources for learning about the effectiveness of programs in community supervision. However, at a time when every penny counts, is it enough to know that certain types of programs are more effective than others? Can we assume that vendors who offer programs that have been shown to be effective are the best choices for community supervision contracts? Even more importantly, what is the most efficient way to provide effective programming? These are questions that Dallas County Community Supervision executives were considering when they decided to search for more efficient ways to provide outpatient substance abuse treatment for offenders.

After years of contracting with vendors in the community for the evaluation and treatment of offenders for substance abuse problems, Dallas County executives decided to see if they could offer the same services in a more effective and efficient manner by bringing these services "in-house" as opposed to contracting them out. However, they didn't just rely on anecdotal evidence to determine if this change produced the results they hoped for, they put this change to the test. Using resources within the department, a study was conducted comparing the new "in-house" substance abuse treatment program to treatment programs that were previously offered by outside vendors. A sample of 144 participants who completed treatment through the vendors were randomly selected and compared to 144 randomly selected participants who completed treatment through the new "in-house" program. Figures 1 and 2 show the results of the study.

At 18 months, the total number of positive urinalyses (UAs) for individuals successfully completing the new "in-house" treatment decreased from an average of .87 (S.D. = .20) before treatment to an average of .67 (S.D. = .20) after treatment. However, the total number of positive UAs for individuals successfully completing the contract treatment program showed a slight increase from an average of .74 (S.D. = .15) to an average of .78 (S.D. = .15) 18 months after treatment (see Figure 1). Additionally, the "in-house" treatment program re-arrest rates were significantly less than the contract program re-arrest rates for both successful and unsuccessful

treatment completers 18 months after treatment (see Figure 2). Only 10% of "in-house" program successful treatment completers relative to 21% of contract program successful treatment completers were arrested on a new charge. In other words, two contract program participants committed new offenses for every one "in-house" program participant. Comparable results were found for unsuccessful treatment completers; 25% of "in-house" program non-completers relative to 32% of contract program non-completers committed new offenses. Overall, these results showed that Dallas County Community Supervision reduced recidivism among individuals with substance abuse problems 34% by treating the offenders "in-house" rather than contracting out the treatment. These results clearly showed an improvement in effectiveness, but was it also an efficient move? The research answered this question as well by looking at how long people spent in treatment. The results showed that contract program participants spent significantly more time in treatment, on average, than individuals participating in the "in-house" treatment program. Thus, each person's treatment cost more, because it lasted longer. So, the bottom line appeared to be that contracting for treatment services was not only less effective, it was more expensive. This study showed that it not only pays to consider the question of effectiveness and efficiency when making program decisions, it is equally important to put these questions to the test by conducting empirical research.

Figure 1.

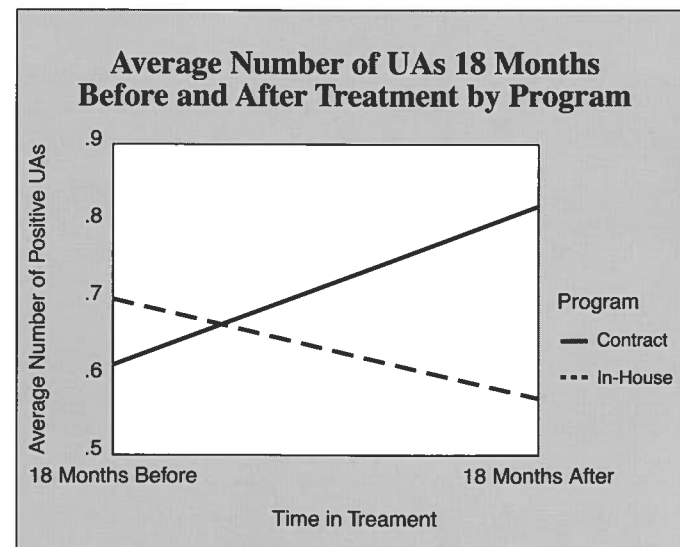
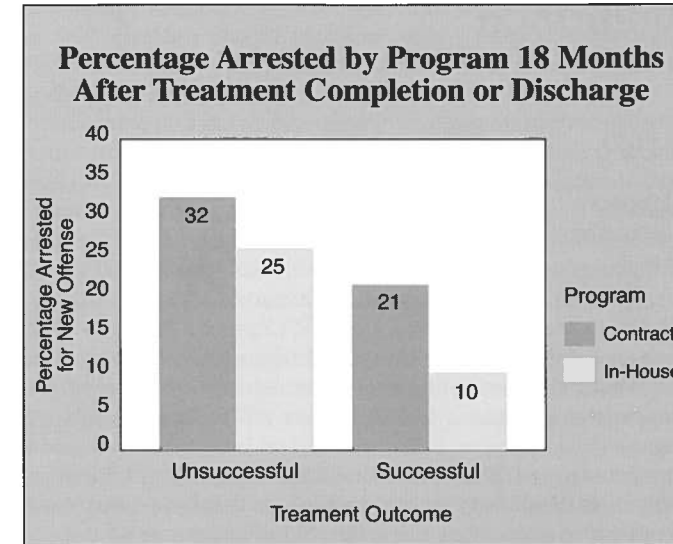


Figure 2.



The substance abuse treatment study is just one example of how Dallas County Community Supervision used research to examine the question of quality programming. The Department also looked at the efficiency of a widely used (and costly) state-mandated substance abuse screening instrument. Analyses of the instrument's accuracy ratings showed the instrument to be ineffective in screening for substance abuse relative to a substance abuse screening procedure designed by "in-house" treatment professionals (at no additional cost to the department) and equal in effectiveness to a screening instrument available through public domain. This research was then used to petition the state agency for a change in the use of the instrument. Based on the research results, the state no longer requires Dallas County to use the state-mandated instrument, thereby saving the department thousands of dollars in supply costs.

Dallas County's research ventures underscore the importance of using empirical research to find more efficient ways to manage community corrections resources. Many of you may find yourself in agreement with these ventures in principle, but find yourself wondering how you can pay for such

research studies. The answer to this question may be closer than most executives realize, it may already exist within your own department. For example, if your department uses the services of a psychologist, part-time or full-time, the psychologist may be able to help get the ball rolling by facilitating contacts with local university psychology or criminal justice departments. In Dallas County, a probation psychologist was able to help the Dallas County Divert Court (our version of Drug Court) get connected with psychology faculty at Southern Methodist University in order to conduct a study on the effectiveness of the Drug Court model. Your psychologist may also be willing to conduct a research study for the department with the help of volunteer undergraduate students. Additionally, there may be supervision officers within the department who are attending graduate programs that require the completion of a master's thesis. These employees may be more than happy to conduct a study in an area that they are already quite familiar with, and in most cases they will be supervised by an academic advisor with experience in research. This is a particularly good win-win situation — you get not only a quality research study, but ultimately a more informed and qualified employee. If these options seem improbable, consider contacting the statistics and economics departments of local universities to ask for assistance. At the very least, these departments may have graduate students who are more than willing to consult with or conduct research projects to meet the requirements of their programs. Finally, there are a number of federal agencies, such as the National Institute of Drug and Alcohol Abuse and the National Institute of Justice, that offer grant funding for the purpose of research. Such grant solicitations usually occur year-round, and you can sign up for e-mail notifications to keep you up to date on possible funding opportunities.

Over the past couple of decades we've become much more sophisticated in our understanding of criminal behavior and rehabilitation. It is now time for us to continue the development of our field by asking not only "what works," but also "what's cost efficient." By combining effectiveness and efficiency, we can ultimately provide the best programming for offenders, and be able to demonstrate our value to those that hold the purse strings.

WHAT DOESN'T WORK IN THE "WHAT WORKS" APPROACH

by

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For some time, there has been an ongoing research effort to determine which correctional programs work and do not work with offenders. This research has led to evidence to support several principles of intervention with offenders. This "what works" or Canadians' Theory (Gendreau, 1996; Cullen and Gendreau, 2001; and Cullen, 2002) has made an impressive contribution to the study of offender treatment. There will continue to be discussion and empirical study of the "what works" approach, but we are beginning to get a better grasp of what works, what doesn't work, and how effective programs work when they do work. Specifically, Latessa, Cullen, and Gendreau (2002) have identified three important bodies of knowledge that have improved our ability to design effective interventions in corrections. First, we now have better indicators or predictors of recidivism. Second, we know more about what doesn't work. Third, we know more about what does work.

Latessa and Holsinger (1998) have summarized the original principles identified by Gendreau (1996) and these principles can be found throughout the current literature of correctional treatment. A summary of these principles include:

- Services should be intensive, behavioral in nature, and focused on higher risk offenders.
- Behavioral strategies should be enforced in a firm but fair manner by qualified staff.
- Programs should target criminogenic needs.
- Responsivity should occur between staff, offenders, and programs.
- Programs should disrupt criminal networks.
- Programs should provide relapse prevention in the community.
- High levels of advocacy and brokerage should be provided. (p. 24)

These principles tend to drive the "what works" enthusiasm in current correctional treatment literature. In fact, the suggestion has been made that programs that are not evidence based, are promoting correctional quackery (Latessa, Cullen, and Gendreau, 2002).

Indeed, strong support for the "what works" approach has emerged in the United Kingdom. The National Probation Service has moved quickly to an evidence based practice based on the principles of "what works," with a strong emphasis on program evaluation (Underdown, 1998; Chapman and Hough, 1998; Boateng, 1999; Slater, 2002; and Slater, 2003).

An interesting aspect of these developments is the recent discovery of principles that have been known in the counseling

profession for quite some time. First, there has to be theoretical integrity, or the counseling must be consistent with theory. It is not surprising, Latessa and Holsinger (1998) found weak programs to be atheoretical. Second, a base rate of behavior needs to be determined. Third, there must be feasibility and fidelity of implementation. And finally, there needs to be an evaluation of whether the counseling was effective. The reason why it has taken corrections so long to discover these basic principles is an interesting line of inquiry, but it will be reserved for another discussion at another time.

What doesn't work in the "what works" approach can be found in the third principle of fidelity of implementation. From a general standpoint, the "what works" approach typically calls for champagne programs when only beer budgets exist, because the level of technical sophistication carries a high price tag. It isn't a problem of whether it works, but one of feasibility of implementation across several requirements of the approach.

The discussion that follows identifies some of the specific elements that do not work in the "what works" approach. This is not meant to be a shopping list of excuses for poorly designed, implemented, and evaluated programs. Rather, it is an indication of where fitting the "what works" approach into specific programs would be counter-indicated. Rather than excuses or rationalizations, the "what works" approach must be questioned in light of current inescapable political, economic, and workforce realities. The "what works" approach was never sold as a panacea. It can work for some programs in some places, but it also doesn't work in some situations. McLellan (2002) indicates that the true test of the effectiveness of a program is in real-world conditions where training, acceptability, cost, and cost reimbursement are considered. He indicates that carefully controlled studies of efficiency are necessary to show that a treatment can work. But, these carefully controlled conditions are not *sufficient* to show that the component *will work* under broader, less controlled, and more complicated real-world conditions."

Screening and Assessment

The pivotal element of the "what works" approach is accurate assessment after an offender completes screening to determine if a problem exists. There needs to be a risk assessment to determine the likelihood of recidivism or relapse. Second, a needs assessment is required to target criminogenic factors, such as antisocial attitudes, negative peer associations, and thought patterns supportive of criminal behavior. Finally, there needs to be a responsivity assessment to determine the

offender's motivation level, learning style, and amenability for treatment. These assessments then lead to treatment matching so that offenders can be matched to programs and therapists. These assessments also lead to guidelines for developing comprehensive written treatment plans.

Assessment is the cornerstone of the treatment process and it is the primary reason why implementing the "what works" philosophy does not fit for many correctional programs. First, in some correctional agencies, the large number of offenders makes comprehensive assessment impractical. Shearer and Carter (1999) have identified this reality. In some correctional systems, it is not unusual for the agency to be in-processing 3000 offenders a month. The time and cost required to conduct assessments in large agencies is prohibitively high because it would be difficult to conduct these assessments in a short time for a small cost. They require lengthy interviews or closely monitored self-report instruments. The psychological dynamics of self-reporting criminal and substance abuse behaviors are much too complex for a few questions, completed in a group setting, to provide reliable and valid indicators of the extent and gravity of these behaviors.

Second, a thorough assessment requires the use of a battery of sophisticated psychometric instruments. Where are community and institutional correctional programs to find a sufficient supply of trained professionals who can administer these instruments? A typical undergraduate degree would not be sufficient. In order to accurately interpret assessments, an individual would need to be thoroughly familiar with sampling procedures, reliability, validity, and statistical norms. In addition to substance abuse assessments, they would also need to be familiar with assessing for sexual deviance, antisocial personality disorders, mental retardation, and psychopathology. Graduate counseling or social work programs rarely prepare their graduates to conduct assessments in these areas. In addition, only a handful of forensic psychology programs exist in this country and not all of them provide substance abuse training. In addition, training to be a licensed chemical dependency counselor, in most states, doesn't provide the technical sophistication that is required to conduct assessments. Austin (1998) noted that a large state treatment program did not have requisite trained and experienced counseling staff to implement the large programs. The situation in the state he identified has gotten worse since he reported the dilemma.

Assuming that a sufficient number of trained professionals were available to conduct psychometric evaluations and they were compensated at a competitive wage level, staff turnover among the individuals conducting the assessments would need to be minimal. This is because the offenders would continue to arrive whether or not there were sufficient assessment staff. The offenders must be moved through the process because most intake facilities and community corrections programs have limited space and a backlog would produce chaos in the system. In large community and institutional correctional programs, the assessment task is problematic, at best, and impossible at worst.

Treatment Matching

A thorough assessment of an offender's risk level, needs, and responsivity is designed to lead to treatment matching. Treat-

ment matching also means that, instead of a one-size-fits-all program or a homogeneous treatment approach, the treatment will be heterogeneous in nature. In other words, different offenders need different programs because of their unique characteristics. The "what works" approach focuses on the need for higher risk offenders to receive the most intensive interventions, and so forth.

At first glance, this would seem to be a logical and common sense approach. On further inspection, it is one of the ways that the "what works" approach may not work well at all because of implicit assumptions that are difficult to accept. Matching offenders on risk, need, and responsivity assumes that there are programs and staff to match to the variety of high/low risk, high/low criminogenic tendencies, and high/low motivation levels. This is a highly unlikely staffing luxury. If gender and ethnicity are added to the equation, treatment matching approaches the impossible.

Implementation

Another key element of the "what works" approach is the recommended implementation of behavioral, social learning, and cognitive behavioral therapies (Latessa, Cullen, and Gendreau, 2002). There is strong empirical support for the effectiveness of these interventions. Furthermore, a number of structured cognitive-behavioral interventions have been developed as a response to the enthusiasm for the findings of many studies supporting the effectiveness of the approach. Cognitive-behavioral programs developed by Ross and Fabiano (1985), *Reasoning and Rehabilitation*, Baro (1999), *Strategies for Thinking Productively*, Little and Robinson (1988), *Moral Reconation Therapy*, and Bush, Glick and Taymans (1997), *Thinking for A Change* have all shown to be effective treatment programs.

In order for these programs to be implemented with therapeutic integrity, Gendreau (1996) suggests that therapists have at least an undergraduate degree or equivalent with specific training in theories and treatment of criminal behavior. He also suggests that therapists receive several months of formal in-service training in cognitive/behavioral interventions.

What these suggestions lead to is the conclusion that we have structured programs that work and we need a lot of therapists that can implement the cognitive/behavioral approach with an acceptable level of integrity. Where would we find an adequate number of therapists to implement cognitive-behavioral treatment programs? Undergraduate criminal justice and psychology programs are not producing any. Graduate counseling and social work programs are not producing cognitive-behavioral therapists. Para-professional substance abuse counseling programs are not producing counselors with this theoretical orientation. The net results are that, with the exception of a few forensic psychology programs, virtually no counseling programs, graduate, undergraduate or para professional, teach theories and procedures of treating criminal behavior. Furthermore, they don't teach specific social learning models of treatment such as therapeutic communities, token economies, or community reinforcement programs. Simpson (2002) indicates that contingency management interventions, motivational enhancement therapy, and cognitive-behavioral therapy are more advanced counselor skills that require intensive training, clinical supervision, and possibly specific credentials. Based

on his conclusions, it is not clear what the source and incentive for all of this advanced training will be. This implementation dilemma also leads to what doesn't work in the "what works" approach. It is little surprise that Latessa and Holsinger (1998), and Austin (1998), reported staff training to be inadequate and the quality of the staff to vary greatly.

Furthermore, the prospect of a counselor with an undergraduate degree, or less, counseling substance abusing offenders in prisons, on community supervision, or in other correctional facilities, is troublesome, if not frightening. Undergraduate programs simply do not provide the education and training for this difficult task. Undergraduate students are at a formative time in their lives, working through a maze of unresolved personal issues, not the least of which are issues of drug and alcohol use or abuse and the legal system in this country. Without running the risk of taking an elitist or traditionalist position, only in our wildest imagination can we expect significant personal change in offenders as a result of a therapist with an undergraduate degree conducting counseling from a scripted cognitive-behavioral program.

The final barrier to implementing cognitive behavioral programs is the very low pay for counselors in many local and state correctional programs. This is known as the *dog catcher effect*. In many state and local judicial districts, the dog catchers and other city and county employees may make substantially more money than substance abuse counselors. The effect is that counselors have left the field for better paying positions such as dog catchers or they become counselors in the private sector. The net effect is extremely high turnover rates and shortages of qualified counselors. In this environment, a sophisticated intervention program ceases to be a reality. Farabee, Prendergast, Cartier, Wexler, Knight and Anglin (1999) have discussed some of these same issues with implementation. They refer to these problems as barriers to implementing drug treatment programs in corrections. The six they have identified are (a) client/identification, assessment, and referral; (b) recruitment and training of treatment staff; (c) redeployment of correctional staff; (d) over-reliance on institutional versus therapeutic sanctions; (e) aftercare; and (f) coercion. (p. 152) They hoped that their identification of these barriers would encourage administrators to implement more effective treatment models. The question that remains is whether these barriers are insurmountable in a climate of declining correctional budgets and extreme staff shortages.

Multiculturalism

During the past decade when corrections was attempting to determine what works with offenders, the field of counseling and psychotherapy has been formulating the competencies of a multicultural counselor. Effective counseling must take into account the impact of culture (Corey, 2001). Culture includes ethnic or racial heritage, gender, religion, sexual orientation, physical and mental ability, and socioeconomic status. Culturally competent counselors need the beliefs and attitudes, knowledge, skills, and intervention strategies to work with culturally diverse populations.

Sensitivity to ethnic and gender differences may be assumed in the responsiveness principle. Otherwise, the "what works" approach has been largely silent on the issue of multiculturalism. Studies have shown significant differences in the way women

and ethnic groups respond to therapy in correctional settings (Shearer, 2001; Shearer and Ogan, 2002; and Shearer, Myers, and Ogan, 2001).

This provides a slightly different twist to the notion of what doesn't work in the "what works" approach. In the case of multicultural considerations, either the "what works" principles don't apply or the approach has failed to address a very important consideration for treatment intervention. In any case, the question of multiculturalism in correctional treatment is largely unanswered. It is an important question because certain cultural groups value being emotionally reserved or being very selective about sharing personal concerns with strangers or professionals. Graham and Miller (1994) explain this difference as a preference to interact in group activities in which more than one cultural orientation is involved. They have identified this important dimension of culture as "context." High context individuals are more collectivistic and low context individuals are more individualistic. The context in which a person is interacting affects how one relates to others, communicates and interprets information.

The diversity found in offender treatment groups, including cognitive-behavioral groups, would seem to dictate that the "what works" approach focus on cultural and gender issues. The cognitive-behavioral approach, like most counseling approaches, is very individualistic because it focuses on individual choice, feelings, decisions, and consequences. How well does this approach work for offenders from different cultural groups? The answer to this question is not yet available, but a very important one.

Technology Transfer and Other Gaps

Cullen (2002), indicates that one of the major challenges in offender rehabilitation is technology transfer. The problem with the current technology in the "what works" approach is that the scientific knowledge that has been produced is not getting to the potential consumers of the new technology. This is, without question, the primary reason the "what works" approach hasn't been implemented very widely. The reasons for this technology transfer gap are complex. Latessa, Cullen, and Gendreau (2002) identify three of these complex reasons. First, there has not been much communication between academic criminologists and correctional practitioners. Second, designing and implementing effective programs is more complicated than conducting research. Finally, the technology transfer gap is a greater problem than any individual or agency can breach. These reasons suggest a larger issue of whether the entire field of corrections can change.

Additional reasons why there is a technology transfer gap are related to problems in continuing communication and confusion. Traditionally, academicians and researchers present their findings in esoteric publications that have an extremely limited audience. Few correctional decision makers read these publications and almost no one in the general public reads them. There are exceptions, but they are rare. In addition, corrections continues to have difficulty with the issue of whether offenders are designated as patients or prisoners (Kassenbaum, Ward, and Wilmer, 1971). There are major philosophical, procedural, and professional differences in the two designations. For the "what works" approach, the most important difference is that the designation of patient

suggests a high level of professional care. A patient is afforded a care provider who has the primary responsibility for care and the development of a therapeutic alliance. But, a more important difference is that the care provider operates under the direction of specific professional ethical guidelines. The designation of prisoner typically does not suggest any of these concerns. This dilemma creates a host of prickly issues for correctional treatment such as coerced treatment, therapeutic alliance, confidentiality, informed consent, and self-determination. If offenders are considered patients, then these issues are less of a concern because of built-in safeguards. But, they rarely are considered as patients. As long as they are prisoners first and patients second, they will be subject to second class interventions and the question of "what works" becomes less important because of this status. Consequently, as offenders remain in this treatment purgatory, the "what works" approach, with its sophisticated professional requirements and accompanying high price tag, will not work. But, the challenge is much greater than technology transfer. We also have a financial, human resources, and paycheck transfer gap. There is a gap between what state and local governments are willing to spend on treatment and what is needed. There is a gap in the number of required trained professionals and a gap in what they are paid and what they need to be paid if they are going to stay in the field. Obviously, these gaps are larger in some places than others. The "what works" approach can work for some programs in some places, but it doesn't work in others.

Which programs are more amenable to the "what works" approach? Lehman, Greener, and Simpson (2002) and Simpson (2002) have attempted to answer this question by studying organizational readiness for change. Based on a process model of change, they have developed assessment instruments for program staff and directors to describe the climate of an organization. Specifically, they have studied motivation for change, institutional resources, staff attributes, and the organizational climate. The research on organizational readiness is still exploratory and preliminary, but as new data in these areas become available, we will have a much better grasp of not only whether the "what works" approach can work, but also we will know where it won't work, because the program in question is not ready to change.

Conclusions

The appeal in the "what works" literature is for long run efforts of evaluating, credentialing, and professionalism of corrections. The field of corrections has rarely enjoyed long run efforts because of the changing legislative climate that makes the field subject to political whims and the associated undependable funding realities. How likely is it that the issue of crime control will cease to be a political issue? Prison warehouses are littered with the residue of short run programs that were supposed to become long run and long run programs that never became short run. Perhaps, our efforts would be more productive if we would approach the problem of "what works" in the context of chaos theory rather than the theory of scientific criminology. The changing political climate seems to keep most large correctional programs in varying states of chaos that few inside or outside the program understand.

On the other hand, the results of ineffective treatment programs may lead to substantial harm. This treatment harm can lead to several results identified by Latessa and Holsinger (1998). First, the public and the various entities in the criminal justice system will be reluctant to support effective programs. Second, there will continue to be a perpetuation of the search for a magic or quick-fix to the problem of crime. Finally, offenders will continue to receive the blame for ineffective programs. They identify this as the greatest harm, because blaming absolves us from designing and operating effective interactive programs.

If this potential harm is the case, then the harm must be weighed against the harm of not having any programs available for offenders. Not only is it unlikely that there isn't a magic solution to criminal behavior, but also it is unlikely that a broad proclamation that we now know what works will magically produce high quality staff and programs.

What has been lost in the enthusiasm of the "what works" approach is the professional override principle described by Hoge and Andrews (1996). Programs need to consider risk, need, and responsibility and then make appropriate decisions under present conditions. It is quite likely that many programs that are identified as quackery are actually programs that are operating the best they can under extremely limited resources. The question that needs to be answered in addition to "what works" is whether doing something, that doesn't meet the ideal standard, is better than doing nothing.

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PSYCHOLOGICAL EVALUATIONS FOR PROBATION OFFICERS: A RATIONALE AND RECOMMENDATIONS

by

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In January, 2002, the Supreme Court of Arizona sanctioned juvenile probation officers to carry firearms in the commission of their duties. In what appears to be a growing trend across the United States, many jurisdictions now allow probation officers to carry weapons. While it can be argued that arming probation officers fundamentally shifts the very nature of probation work and the way it is performed, the purpose of this article is NOT to add another voice to this hotly debated topic. Rather, we submit that no matter where you stand on the issue of arming probation officers, if your agency or district is among those who now carry firearms, you may more closely resemble a traditional police agency in some ways than the type of probation environment envisioned by John Augustus in his classic work which began the probation movement (Augustus, 1939). Nevertheless, because a fundamental shift has occurred, probation administrators are now faced with tough decisions that heretofore only concerned police officials and sworn law enforcement agencies. Chief among them is the issue of determining who among a pool of applicants is best suited to carry a firearm, and who is not. Also of concern may be: 1) Who possesses the mental and cognitive abilities to function well under the unique pressures of probation work and who does not?; 2) Whose personal characteristics and traits allow them to interact well with the public and whose do not?; and 3) Whose personal characteristics and traits mesh well within a particular probation department's culture and whose do not? While determining the suitability of probation officers candidates has always been an important task, the stakes have jumped considerably now that probation officers routinely carry firearms. A wrong decision today can easily result in a lethal and deadly use of force. It is precisely for this reason that we believe psychological evaluations are an essential diagnostic tool that all probation departments should adopt. The purpose of this article is therefore to serve as both a "primer" and "catalyst" for those interested in learning more about psychological evaluations, and how such evaluations can be applied within probation departments.

Psychological Evaluations, Law Enforcement, and Liability

Psychological evaluations have been used by police agencies to assist in personnel selection for several decades, and can be traced back to as early as 1916 (Reese, 1995). Today, such evaluations are considered standard practice rather than rare exceptions in police agencies, and to NOT employ such techniques

could potentially expose an agency to a host of liability issues. For example, the case of *Bonsignore v. The City of New York* (1981) speaks directly to this issue. Here, the City of New York was held liable for failing to adopt and implement a sufficiently effective program of psychological screening and monitoring of police officers. In short, the City was found guilty of gross negligence for failing to appropriately screen individuals who may be psychologically unfit to carry guns.

With the dividing line between police and probation becoming increasingly difficult to distinguish these days, the decision not to utilize psychological evaluations may very well expose a probation department to similar liability issues. Because many probation officers are now carrying firearms, it is conceivable that the standard established in *Bonsignore* could be applied to probation officers and probation department officials. Although at the time of this writing no published case directly addresses the liability of probation departments stemming from arming their officers, there is legal precedent suggesting that probation officers may be treated as analogous to police officers in certain situations. For example, in *Gelatt v. County of Broome* (1993), a county probation department and several probation officers were sued by a probationer. The State of New York, in defense of the probation officers, asserted that a probation officer is entitled to absolute immunity based on their professional duties and position. However, in analyzing the case, the *Gelatt* court employed a "functional approach" to immunity analysis. In doing this, the *Gelatt* court found a strong analogy between a probation officer's function and that of a police officer. Because of this, the court granted only limited immunity (such as what a police officer would be entitled to under like circumstances), rather than absolute immunity. Although the issue has yet to be adjudicated, to the extent that carrying a firearm might change a probation officer's function, the possibility exists that probation officer's might incur liability similar to that of a police officer's.

In light of potential liability issues such as these, in addition to simply being good departmental practice, we believe that ALL relevant tools should be brought to bear in assisting probation departments with making correct personnel decisions. Among the tools available, three of the most commonly utilized by law enforcement agencies include: 1) the background investigation; 2) the polygraph examination; and 3) the psychological evaluation. While all three are used with varying degrees of frequency, psychological evaluations are probably used least

frequently within probation departments. However, because probation work involves such a unique blend of skills and competencies drawn from the criminal justice, behavioral science, and social work fields, we believe that a psychological evaluation is probably the most important diagnostic tool for determining whether a good "person-job" fit exists.

Preemployment vs. Fitness for Duty Evaluations

Two specific types of psychological evaluations used in law enforcement include 1) the preemployment evaluation and 2) the "fitness for duty" evaluation. We believe that both should be routinely adopted by probation departments. Preemployment evaluations seek to discriminate among a potential pool of candidates who have yet to be hired. Fitness for duty evaluations, on the other hand, seek to determine whether a current officer or employee remains psychologically fit following some sort of jarring event (e.g., an officer involved shooting, a traumatic personal event, etc.), or after some previously undisclosed information surfaces that may compromise an individual's ability to serve (e.g., an internal investigation reveals that an officer has been involved in illegal activity). While preemployment evaluations are conducted with many prospective applicants for a given position, fitness for duty evaluations are discretionary, occur at the request of an individual's supervisor or Chief, and vary considerably in terms of the final recommendations offered. As Stone (1995) noted, fitness for duty evaluations lie "somewhere at the intersection of risk management, mental health, labor law, and internal discipline" (p. 109).

Common Elements of Psychological Evaluations

Most psychological evaluations in law enforcement are considered "multimodal" in that they do not utilize only one specific method of evaluation, but rather comprise several different psychological approaches. Various methods commonly employed include: 1) written paper and pencil tests; 2) situational behavior tests; 3) clinical interviews; and at times 4) projective techniques.

Written tests. Written "paper and pencil" tests such as the Minnesota Multitrait Personality Inventory-2 (MMPI-2), or the Sixteen Personality Factor (16PF) constitute the backbone of most psychological evaluations. These tests provide general personality information in addition to information regarding psychopathologic traits. In recent years special scoring methods and interpretive systems have been developed to aid in applying these instruments as screening devices for law enforcement. For example, the MMPI-2 Revised Personnel System, 3rd Edition has been designed specifically to help identify individuals who are emotionally unsuitable for high risk / high stress occupations. Likewise, the 16-PF Protective Services Report has been developed to illuminate the presence or absence of personality dimensions thought to be relevant to high-risk law enforcement jobs. Aside from these recent developments, other tests such as the Inwald Personality Inventory (IPI) have been in existence for over 20 years, and have a long history of being successfully used to discriminate and analyze law enforcement applicants.

Many other "specific purpose" tests also exist, and are frequently interwoven into a multimodal assessment battery for law enforcement. Tests such as the Wechsler Individual Achieve-

ment Test - 2nd Edition (WIAT-II) can be used to gauge how effectively and efficiently an individual is able to write reports — an extremely important skill for most law enforcement positions. The State-Trait Anger Inventory (STAXI) can be used to provide norm-referenced comparisons regarding how an individual typically expresses his/her anger. Validity scales from certain tests can also be used to evaluate whether an individual is "faking good," "faking bad," or attempting to portray him/herself in a disingenuous manner. These and other valuable insights can be attained along several different dimensions of personality, and are but a few examples of the areas that can be explored through "paper and pencil" psychological assessment.

Behavioral tests. A fairly recent development in the assessment of law enforcement personnel involves the use of "situational behavior tests" to help gauge how an individual might typically respond to challenging "real-life" situations encountered on the job. The Behavioral Personnel Assessment Device (B-PAD) is an example of one such test. Here a series of eight videotaped scenes are presented to a test-taker, who is given 45 seconds to respond "like you are actually in the situation." An example of a typical scene might involve a situation with an intoxicated probationer, or a situation with a juvenile probation officer interacting with an irrational and argumentative parent. As the test-taker responds to each situation, his/her responses are video recorded, which are later analyzed and evaluated for things like "interpersonal effectiveness" and "the ability to take charge of the situation". Such situational behavior tests are most often used in preemployment contexts, and provide a nice window into the future regarding how a test taker might typically respond to challenging on-the-job situations. In one recent study evaluating the effectiveness of different psychological techniques, the B-PAD was found to be the most successful predictor of subsequent job performance among the various psychological techniques studied (Stone, 1998). While the B-PAD has been widely used for many years by police, sheriff, and fire departments across the country, probation specific scenes have only recently been developed, and now make this psychological tool equally accessible to probation departments as well. The B-PAD Report Writing Test (RWT) has also been developed to help determine an individual's ability to attend to key elements of video based situations and communicate them effectively in the form of a written report.

Clinical Interviews. A face-to-face examination with a psychologist or psychiatrist is an essential part of true multimodal assessment. As a general rule, no psychological test should ever be interpreted in the absence of a face-to-face interview, and such is congruent with the recommendations of the International Association of Chiefs of Police (IACP). Moreover, we believe that clinical interviews should only be conducted by those mental health practitioners specifically trained in law enforcement psychology. While most professional psychologists have at least some degree of expertise in conducting psychological evaluations, forensic psychological evaluations for law enforcement are unique, and require specialized skill. Experienced forensic examiners will usually conduct their interviews in a semi-structured fashion, and will evaluate dimensions such as alcohol use/abuse patterns, honesty and integrity, psychological/psychiatric history, ethical decision making, attitude towards supervision, team orientation, stress tolerance, interpersonal style, command presence, psychological defenses, conflict resolution skills, absence of bias, and other areas rel-

evant to successful performance. Not unlike a polygraph examination, the true utility of the clinical interview often does not lie in the specific mechanics of the interview, but rather in the skill of the examiner conducting the interview.

Projective Techniques. Finally, projective techniques such as the Rorschach Inkblot Technique (RIT), the Holtzman Inkblot Technique (HIT), or the Thematic Apperception Test (TAT) have all been used with varying degrees of frequency in law enforcement contexts. As a general rule, projective techniques are considerably more subjective in both the way they are applied, and in terms of the clinical information they generate. Some evidence has emerged which suggests that projective techniques can at times add useful information to law enforcement screenings. In a practical sense, however, most projective techniques are too cumbersome and time consuming to be applied in any sort of routine fashion with preemployment candidates, and are usually reserved for unusual cases or fitness for duty evaluations.

Limitations

It is imperative we emphasize that despite their utility, psychological evaluations do have their limitations and are not completely foolproof. Psychological evaluations do not always offer definitive conclusions about an individual, and psychological tests are subject to measurement error. Such evaluations also cannot predict all future problems in "screened" employees. Problems will most certainly arise if probation administrators look towards psychological evaluations with unrealistic expectations. However, they do represent an important source of information to be considered that can steer an administrator towards making a better and more informed personnel decision. In short, no evaluation can provide an x-ray of an individual's soul, but a good psychological evaluation can provide a window into one's psyche.

Legal and Ethical Considerations

Because the courts have typically viewed psychological evaluations as similar to medical evaluations, different rules and regulations have emerged regarding how they can be used in employment contexts. The Americans with Disabilities Act (ADA), for example, has significantly impacted the way in which psychological evaluations can be administered. Prior to the passage of ADA, law enforcement applicants would routinely receive medical and psychological evaluations prior to receiving a job offer. However, because ADA prohibits discrimination against individuals who are otherwise qualified for a position, the law now requires that no inquiry concerning any disability (including a psychological disability) be made of a candidate unless a provisional job offer has been made first. For this reason, it is imperative that before initiating a psychological preemployment evaluation, a conditional job offer (in writing) must be extended to a candidate. Such job offers may be, and frequently are, rescinded if the candidate is found to be unsuitable for either psychological or medical reasons.

In developing employee selection procedures, employers must also consider adverse impact. Under the Equal Employment Opportunity Commission rules, a selection process is presumed to be discriminatory when the selection rate for one protected group (such as age, gender, or race) is less than 80

percent of another group. Unless such a practice can be shown to be justified by business necessity, using such a procedure can expose an employer to liability. Ideally, every step in an employer's selection process should be analyzed and assessed to insure that it is both job related and free of disparate impact on protected classes of job applicants.

Other important legal and ethical issues exist regarding how psychological evaluations should be conducted, but are beyond the scope of this article. In brief, however, there are 10 specific legal/ethical recommendations noted by police psychologist Robin Inwald (1985) which serve as a good starter for probation departments. Her recommendations include: 1) using psychological screening as only one component of an overall selection process; 2) building in a validation project where psychological tests and ratings can be evaluated to determine their usefulness; 3) selecting a variety of tests and procedures for verification purposes; 4) steering clear of arbitrary cutoff scores on psychological scales; 5) documenting all procedures and selection processes by providing written progress reports; 6) conducting in-house education with staff members, and allowing feedback; 7) interviewing all candidates who are given psychological tests; 8) using well defined behavioral measures in tests and evaluations; 9) being flexible in the design of any research project and in the selection of specific instruments of psychological evaluation; and 10) contacting other state and local agencies, as well as professional organizations, to create a network for sharing information. In addition to these recommendations, the International Association of Chiefs of Police have articulated their own set of guidelines and standards for conducting preemployment psychological evaluations for law enforcement. While too lengthy to reprint here, the IACP guidelines are generally congruent with the information we have presented in this article, are equally applicable to both police and probation departments, and can be downloaded directly from the IACP website (www.theiacp.org).

Conclusion

In summary, there are compelling reasons for probation departments to consider adopting the use of psychological screenings and evaluations for probation officers. The primary reasons presented in this article include: 1) the increased potential for negative consequences to occur if unsuitable candidates are selected for armed probation officer positions; 2) the fact that psychological evaluations are well established tools that have a long and successful history of application within police and other law enforcement agencies; and 3) choosing not to employ such techniques could potentially expose an agency to liability issues in certain situations.

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NATIONAL ASSOCIATION OF PROBATION EXECUTIVES

Who We Are

Founded in 1981, the National Association of Probation Executives is a professional organization representing the chief executive officers of local, county and state probation agencies. NAPE is dedicated to enhancing the professionalism and effectiveness in the field of probation by creating a national network for probation executives, bringing about positive change in the field, and making available a pool of experts in probation management, program development, training and research.

What We Do

- Assist in and conduct training sessions, conferences and workshops on timely subjects unique to the needs of probation executives.
- Provide technical assistance to national, state and local governments, as well as private institutions, that are committed to improving probation practices.
- Analyze relevant research relating to probation programs nationwide and publish position papers on our findings.
- Assist in the development of standards, training and accreditation procedures for probation agencies.
- Educate the general public on problems in the field of probation and their potential solutions.

Why Join

The National Association of Probation Executives offers you the chance to help build a national voice and power base for the field of probation and serves as your link with other probation leaders. Join with us and make your voice heard.

Types of Membership

Regular: Regular members must be employed full-time in an executive capacity by a probation agency or association. They must have at least two levels of professional staff under their supervision or be defined as executives by the director or chief probation officer of the agency.

Organizational: Organizational memberships are for probation and community corrections agencies. Any member organization may designate up to five administrative employees to receive the benefits of membership.

Corporate: Corporate memberships are for corporations doing business with probation and community corrections agencies or for individual sponsors.

Honorary: Honorary memberships are conferred by a two-thirds vote of the NAPE Board of Directors in recognition of an outstanding contribution to the field of probation or for special or long-term meritorious service to NAPE.

Subscriber: Subscribers are individuals whose work is related to the practice of probation.

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- | | | | | |
|--------------|----------------|--|---|--|
| CHECK | 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 | | |

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 Sam Houston State University
 Huntsville, Texas 77341-2296
 (936) 294-3757

HOMELAND SECURITY THROUGH COMMUNITY JUSTICE

by

Eduardo Barajas, Jr.
 Project Director
 The Police Foundation
 Washington, D. C.

All of us are aware of the actual and potential ramifications on criminal justice policy in the wake of the September 11, 2001 attacks on our country. The initial unity of purpose exhibited by the American public has gradually evolved into a more traditional grouping of diverse opinions. As the traditional guardians of our safety and security, the police are at the forefront of any new homeland security efforts. This raises concerns among civil libertarians and other private citizens that the police may revert to more strident and authoritative policies forced upon, or even secretly welcomed by, them.

The past twenty years have been remarkable in terms of transforming police practices based on the principles of community policing. The police were the first to recognize that in order to create and maintain safer communities and enhance their legitimacy, they must become partners with the communities they serve. In the 1990s, the other components of the justice system began to embrace the principles of community partnerships, crime prevention, and victims' services and reparation that came to be known as community justice.

Community policing relies on the principles of problem-solving community partnerships and organizational transformation in order to succeed. Organizational transformation is essential so that police departments don't view community policing as merely another program or department adjunct, but as a complete management guiding philosophy.

The question in some people's minds is: Will the advances in criminal justice practice of the past twenty years be reversed with the new focus on homeland security? It appears that the answer is a resounding NO. It may be argued that the principles of community justice can provide a framework to ensure that interests of security and liberty remain properly balanced.

Before September 11, 2001, the U.S. Department of Justice Office of Community Oriented Policing Service (COPS) sponsored a Symposium on 21st Century Issues for Law Enforcement. Police Chiefs, Sheriffs, and other law enforcement CEOs were asked to address present day issues confronting law enforcement communities in the twenty-first century. Participants considered the following issues "extremely important" and "extremely urgent":

- Public trust
- Recruitment
- Technology challenges
- Racial/ethnic profiling

After September 11, a second symposium was held and participants again were asked what they considered "extremely important" and "extremely urgent." The same four issues were cited.

The Community Policing Consortium has been an instigating force in transforming police practices and policies within a service-

oriented framework. The Consortium is a partnership of five of the nation's leading law enforcement organizations: the International Association of Chiefs of Police (IACP), the National Organization of Black Law Enforcement Executives (NOBLE), The National Sheriffs' Association (NSA), the Police Executive Research Forum (PERF) and the Police Foundation (PF).

The Consortium was first established in August 1992 under a U.S. Department of Justice, Bureau of Justice Assistance grant and was created and funded in 1993 as a multiphase project. Funding and administration of the Consortium transferred to the COPS office after its creation in 1994. The Consortium's primary mission is to advance community policing strategies that will enhance the quality of life of all citizens. The strategies are designed so that citizens and a wide range of community stakeholders can work as full and equal participants with law enforcement and other public and private organizations. The Consortium melds the collective expertise of its five partners to provide training and technical assistance in community policing to law enforcement and citizens.

During its current funding phase, the Consortium will provide training and technical assistance to develop and maintain trust-based partnerships that are critical in maintaining homeland security. The goal is to continue to aggressively interact with law enforcement agencies and communities by designing several new policing approaches that will both secure our homeland and preserve our liberties.

Law enforcement agencies are seeking ways to reduce the fear present in our communities and to establish networks to help identify criminal elements. These agencies also need to reorganize internally and they require assistance in identifying and using resources to make these changes happen.

Community corrections has been the last justice component to attempt the transition from traditional justice to community justice. Those community corrections agencies that are in the transitional process report a great deal of enthusiasm as well as some confusion. Most of the confusion stems from a lack of knowledge and experience in implementing the basic community justice principles such as community engagement.

The Consortium offers an array of training and technical assistance options that traditionally have not been made available to community corrections. The *Community Engagement* program offers jurisdictions a facilitated process in which law enforcement and the community can collectively identify problem areas in their neighborhoods. In response to the September 11 terrorist attacks, a forum on the subject of *Fear Reduction* will be added to the *Community Engagement* series. There is also a *School-Based Community Engagement* program that focuses on neighborhood schools.

The Consortium also offers a variety of training through its *Blueprint* series of symposia. One symposium in particular

might benefit community corrections CEOs. Titled *Internal Inspections and Investigations*, the symposium offers law enforcement CEOs a blueprint to guide the internal organizational transformation process. Issues are developed based on a list of probing questions such as: How do you transform a highly unionized police department that is opposed to focusing on customer service, to one that recognizes the importance of citizen satisfaction, customer service, and accountability? If in the past citizens held a traditional role, what are the expectations for them today, and are they realistic?

Rather than diminishing the importance of community policing, the September 11 attacks have made community policing/community justice more crucial. The ultimate goal of community justice is to create and maintain safer communities through community partnerships and engagement. Working *with* and *for* communities assures that the interests of security and liberty remain properly balanced. When viewed from this perspective, community justice equals homeland security.

Plan to attend the
MEMBERS RECEPTION

and

AWARDS BREAKFAST

in
Cleveland, Ohio
on
August 23–24, 2003

NETHERLANDS CONFERENCE ON TRANSITIONS IN CORRECTIONS

by

Donald G. Evans
President
Canadian Training Institute
Toronto, Ontario

The International Corrections and Prisons Association's fourth annual conference was held in Noodwijherhout, Netherlands, October 20-25, 2002. The conference focused on the transitions occurring in corrections. The emphasis of the plenary sessions was on people (including staff, offenders, and the public), policies (both penal/social policies of governments and operational policies of correctional agencies), and practices (of institutional and community-based corrections). The conference was organized to explore four distinct themes that have emerged recently in correctional environments. The themes specified denote the transitions that are occurring in the following areas:

- Restorative Justice: From retribution to restoration
- Professional Corrections: From punishment to protection of the public
- Regional Transitions: Perspectives from Europe, Asia and Latin America
- Research: Knowledge in support of transitions.

Transition Management

The opening address by Dr. Ole Ingstrup, ICPA President, covered what is known from the management literature about managing in times of change. His focus was to identify the key questions that we should be considering as we attempt to manage the transition from the current state of corrections to the desired state that is envisioned. He provided a rudimentary checklist for correctional administrators to measure how well they are doing in managing transitions or in implementing new approaches to corrections. Ingstrup suggested the following questions:

- Do we have our house/organization in order?
- Do we have systems in place that ensures that we move in the direction we have decided upon?
- Do we as leaders have systems thinking capability?
- Do we have the people skills we need to mobilize all the people we need to get the job done?
- Do we set for ourselves big goals?
- Do we have a sense of urgency?
- Do we have the drive for excellence?
- Do we have the ability to think outside of the box, to change our conceptual frames?
- Do we have the getting things done mentality?

Philosophical Transition: Restorative Approaches

Over the last 30 years, restorative justice has developed internationally in terms of theory and practice. This expansion has

not been without difficulty, especially in relation to definition and use of the principles of restorative justice. Three sessions were devoted to exploring the transition to restorative justice approaches. The first session, led by Dr. Howard Zehr, Eastern Mennonite University, Virginia, USA, provided an overview of restorative justice and sought to clarify the primary principles, concepts and definition of restorative justice.

In Zehr's opinion, restorative justice is not:

- Forgiveness or reconciliation
- Mediation
- Primarily intended to reduce recidivism
- A particular program or blueprint
- Intended primarily for minor or serious crimes
- A new or primarily European-American development
- A panacea
- A prison alternative
- The opposite of retribution.

Instead, Zehr said that restorative justice is concerned about the needs and roles of victims, offenders, and the community. Zehr believes that the appropriate focus for restorative justice is on needs and on victims.

The second session, led by Judge Frederick McElrea, District Court and Youth Court Judge, New Zealand, concentrated on the examination of issues and trends in the restorative justice movement. Judge McElrea discussed five specific issues or trends as follows:

- Restorative Justice as a continuum: Negotiation — victim-offender mediation — restorative conferencing — circle sentencing.
- Expanding scope of restorative justice: youth courts, adult criminal courts, and schools, trade practice standards, and environmental issues.
- The ownership and control of restorative justice: state or community ownership, setting and maintaining practice standards, and different legislative approaches.
- The implications for corrections: is restorative justice only an add-on, or is it part of a culture change?
- The cost and benefits of restorative justice: recidivism reduction, satisfaction with the process, social costs, renewal, and ability to move forward.

Judge McElrea also noted the leadership role that is being played by Europe, by promoting restorative justice in legislation (proposed for March 2006), the role of the United Nations working group on restorative justice, and the 2000 UN Crime Congress that proposed a resolution on restorative justice. This

resolution was finally adopted in July 2002. He also touched on the lead that the faith-based communities have taken towards implementing restorative approaches.

The third session, jointly led by Dr. Thamie Nxumalo, Technikon, South Africa and Dr. Robert Cormier, Ministry of the Solicitor-General, Canada, explored the issue of proving restorative justice works. Dr. Nxumalo provided an insightful overview of restorative justice and reconciliation processes in South Africa. He discussed the efforts at creating relevant legislation, developing community awareness, and the problem of the readiness of criminal justice officials to adopt restorative justice concepts. The efforts currently underway in South Africa involve both governmental agencies and non-governmental organizations. It was expressed that, although evaluative research is limited, restorative approaches are assisting in community building, and that the larger effort of the work of the reconciliation commission has proved successful and helpful in developing awareness of other means to deal with offending behavior.

Dr. Cormier highlighted a current effort in Canada that involves the application of restorative justice in cases of serious crime. The Collaborative Justice Project (CJP) is a demonstration project operating in Ottawa under the direction of the Church Council on Justice and Corrections. Cormier advised the group that the CJP was designed to provide individual support to victims and accused persons as they are processed through the court and correctional systems. The project also provided opportunities for victims and offenders and the community to work together on an appropriate resolution option to be presented to the court as a sentencing option. The project deals with serious offences that would normally result in a term of imprisonment. The serious offences included assaults, robbery impaired and/or dangerous driving causing injury or death, and fraud. Cormier noted that the results to date indicate that the project is meeting its target of serious crimes, the risk level of the offenders was high, and that the project is having an impact on both the attitudes/experiences of victims and offenders. He felt that the preliminary data was promising but the project would need to await completion of the evaluation study now underway.

Regional Transitions: Probation in Europe

John Walters, the Secretary-General of the Council European Probation, provided an overview of trends and issues in European Probation.

The shift from a welfare orientation to a correctional one

He examined this shift from two perspectives, how probation services are organized and what they do. Probation origins in Europe had their roots in voluntarism and non-governmental organizations (NGOs) reaching back to the 19th Century. In the early days the work concentrated in working with discharged prisoners. During most of the 20th Century fewer NGOs were operating probation services, but there was a strong social work culture in most of the agencies. As probation services developed as a public service they became a significant player in the development of criminal justice policy, especially as it related to the development of community measures and sanctions. Now most of the services operate under government direction and

abide by public administration policies. Today in most jurisdictions probation is now a criminal sanctions agency with the dual role of enforcement and reducing recidivism or re-offending. There is still some tension between the old social work role and the newer correctional role. Probation in most European countries is working more closely with prisons and police although most retain some elements of their traditional roles with judicial authorities.

Development of a more scientific probation service

He described this shift as a move from "story tellers" to scientists. Walters attributed this move to the "what works" movement and its impact on the development of effective correctional interventions. Probation services today are attempting to focus on criminogenic factors, which have been identified by research rather than intuitively. Using structured assessment to focus on the risk of re-offending, appropriate interventions are made to reduce risk of re-offending. He noted that the practical application of this approach is most noticeable in the United Kingdom, Scandinavia, and Switzerland.

The success of community service

In Europe, Walters noted, the most successful criminal sanction implemented was the community service order. It was conceptually simple but had a broad appeal. This sanction is operating very widely in Europe and is recognized in most jurisdictions as an essential sanction that has had a major impact on the lowering of admissions to prisons. It is also valued by communities and is seen to meet three major goals of sentencing: retribution, reparation, and rehabilitation.

Adherence to the principle of social inclusion

The CEP believes that a society built on the principles of social inclusion provides the best protection for communities from the harm and distress caused by crime. All the countries of Europe face the challenge of achieving this at a time of social and cultural change. Probation services in Europe are attempting to gain greater community involvement in their work with offenders and there is an emphasis on assisting offenders to gain access to mainstream services. There is a strong emphasis on seeking employment opportunities for offenders and in making sure services are designed and monitored for accessibility.

Victim concerns are critical

Efforts are being made to start from the victim's perspective. We all need to realize that victims have had their hurt bureaucratized and have been alienated from the process of investigation and prosecution. Walters noted that the greatest advances in respecting victims is occurring in Austria, parts of Germany, and in the Czech Republic.

Are there alternatives to prison?

Walters noted that there is still an ongoing debate regarding alternatives to imprisonment. He noted that progress in the effectiveness of probation services appears to be accompanied

by increases in the use of prison in many European countries where there is no increase in crime. Explanations for this are not yet forthcoming and are an area for research and analysis. There is however, one interesting example of the reduction in the use of imprisonment by the introduction of community service in Finland. He noted that most probation services in Europe would conclude that the use of prison will only decrease if community measures and sanctions are introduced as part of a wider initiative to reduce the use of prison requiring political and judicial support and the absence of a negative public reaction.

Issues for developing systems

Some countries are attempting to establish probation without specific legal authority but with existing legal mechanisms. For example, Slovakia with conditional sentences and Bulgaria with conditional sentences and conditional release programs are attempting these strategies. They are useful for piloting and hopefully will emerge into fully developed probation services. It has not been easy to convince judicial authorities in these countries but efforts are being made. There is also the issue of where in the criminal justice system probation services should be located. Walters noted that the discussion at the present time centers on locating probation as part of the penitentiary system, or attached to the courts, or as an independent directorate in a Ministry of Justice. He feels there is no correct model but what is essential is leadership and direction. Probation services that have leadership and a clear direction have developed but those without have not.

In concluding his workshop, Walters stressed the need for governments to plan for not only the affordability of the their probation services but also their sustainability. We must ask the hard questions, he said; for instance, "Do we need a probation service to do all of the programs?" and "Can there be a better mix of agencies in the delivery of public safety services?"

Community Correctional Professionals: Transition Concerns

The writer had the opportunity to facilitate two sessions attended by community correction personnel from various countries. The group attempted to discover what were the major concerns around the implementation of community-based corrections. The members of the group decided that there were three major issues: resources, knowledge transfer, and policy issues at the organizational and legal/jurisdiction level.

Resourcing of community-based correctional services

- The necessary concern for both fiscal and human resources
- The requirement to evaluate the investment of public monies in prisons and community
- The need to think about the costs of imprisonment in relation to the costs of reintegrative activities
- The concern for the sustainability of community correctional interventions.

Knowledge Transfer

- The recognition that the transmission of knowledge and technology are not currently efficient or effective

- The acknowledgment that reinventing the wheel is counter-productive and expensive
- The challenge presented in the management of change and the implementation of programs need to be faced (adding tasks but not weeding out or eliminating un-useful practices)
- It is important for practitioners to know not only "what works" but also "what does not work."

Policy Issues

On the organizational level:

- The impact of the changing role and function of probation staff
- Public safety and protection focus that is emerging will impact agencies
- Are we clear on the profession of probation? Is it shifting, drifting, or directed?
- The value of developing exchange programs for all levels of staff to aid in implementation of new visions and new ways of working
- The need for increased coordination between prisons and community correctional agencies needs to be improved.

On the legal/jurisdictional level:

- Issues regarding offenders abroad (that is nationals committing crimes in other jurisdictions and being transferred to their home countries)
- Transfer of community sanctions between countries, supervision of offenders paroled or released to their home countries
- Deportation of offenders after sentence present problems for receiving countries.

Public safety seems to be the goal of almost all community-based programs, as does the introduction of evidence-based practices (what works) in the countries represented at the conference.

Conclusion

The conference proved to me the value of the exchange of ideas and practices in an international forum. It is good to note that NAPE recently affiliated with ICPA and at this conference was given recognition for the affiliation. Living with the results of world globalization conferences such as this one reminds us of the importance of our need for awareness and understanding regarding the developments occurring in criminal justice and penal policy in other countries.

NOMINATIONS SOLICITED FOR EXECUTIVE OF THE YEAR AWARD

Nominations are being accepted for the Sam Houston State University / National Association of Probation Executives "Executive of the Year Award" for 2003. This award is given annually by the George J. Beto Criminal Justice Center at Sam Houston State University to an outstanding probation executive selected by the NAPE Awards Committee. The award will be presented at the annual breakfast meeting in Cleveland, Ohio. Prior recipients include Barry Nidorf, Don Stiles, Don Cochran, Cecil Steppe, Don Hogner, Vince Fallin, Tamara Holden, Richard A. Kipp, Ronald P. Corbett, Jr., Richard E. Wyatt, Rocco A. Pozzi, Ron R. Goethals, Cheryl K. Townsend, and E. Robert Czaplicki.

Criteria for this prestigious award include the following:

- Manager of a public agency providing probation services;
- Member of the National Association of Probation Executives;
- Contributed to local, state, regional, or national professional organizations;
- Demonstrated sustained exemplary performance as a manager in pursuit of the goals of the profession;
- Implemented new and innovative policy, procedure, program, or technology with high potential to enhance the standards and practice of probation which is transferable; and,
- Has achieved outstanding recognition during the year or has outstanding achievements over time.

Nominations should be sent to the Secretariat Offices by April 30, 2003, at the address below:

Ms. Christie Davidson
NAPE Secretariat
George J. Beto Criminal Justice Center
Sam Houston State University
Huntsville, Texas 77341-2296
FAX No. (936) 294-1671

Please take time to nominate one of your colleagues for this distinguished award.

NAPE/CCIA Award *Arthur Neu Award* For Exceptional Policy Development

Arthur A. Neu served 32 years in the Army JAG Corps and returned to Iowa to practice law. Neu served in the Iowa State Senate from 1967-1972, and as Lieutenant Governor of Iowa from 1973-1979 when he played a historic role. He served on the Iowa Board of Regents 1979-1985 and currently serves on the Iowa Board of Corrections. He has also served as City Attorney and Mayor of Carroll, Iowa and as an attorney for several school districts.

In 1976 while serving as Lieutenant Governor, Arthur Neu showed great leadership and vision when he supported and guided Iowa's innovative and strong Community Based Corrections Act through the Iowa Legislature.

At the time his leadership was unselfish for an elected official but through the ages of time it epitomizes what leadership is all about in crafting and supporting effective public policy. It is this type of leadership from elected officials that this award will recognize in the future.

Eligibility: The National Association of Probation Executives and the Community Corrections Improvement Association jointly present this award to an elected official who has demonstrated exceptional understanding and support for probation practices and has provided value added activity or service to the profession in their official capacity.

Nomination: Nominations will be accepted from a NAPE represented department and must be approved by the Director and/or the Board of Directors for that department.

The nominee must have achieved an outstanding event during the year or championed a specific cause over a period of time.

Selection: The NAPE awards committee and a representative of CCIA will review all nominations and will select the award recipient.

Presentation: This award will be presented each year at the NAPE Annual Awards Breakfast.

Award: The award recipient will receive an individual wall plaque displaying the name of the award, the recipient's name, and the date of the award. CCIA will also provide a \$500.00 contribution to the official charity (501.c.3) selected by the award recipient.

NAPE/CCIA Award
William Faches Award
For Exceptional Community Service

William Faches served as the Linn County Attorney from 1965-1974. He truly believed that obtaining justice was the primary outcome and strove for justice and equality for all citizens. He was a founder of the Sixth Judicial District Department of Correctional Services in Cedar Rapids, Iowa.

In 1978 he was appointed to the Board of Directors as a Judicial Appointee and was elected President of the Board on January 26, 1978. He continued in that capacity until his death in July of 2000 and never missed a board meeting. He was a recipient of the Civil Libertarian award from the Iowa Civil Liberties Union (1974), the Iowa Governor's Award for Volunteerism (1986 & 1990), and the Iowa Corrections Association Citizen of the Year Award (1980). On May 20, 1992, the Administrative Office Building for the Sixth Judicial District Department of Correctional Services was named in his honor.

Bill epitomized what volunteer leadership and vision is all about by giving generously of his time and talents to make his community a safer and more just place for all people to live.

Eligibility: The National Association of Probation Executives and the Community Corrections Improvement Association jointly present this award to a volunteer, member of a board of directors or advisory board, or another who has demonstrated exceptional community service which provided value added activity or service to the organization or community that they have served.

Nomination: Nominations will be accepted from a NAPE represented department and must be approved by the Director and/or the Board of Directors for that department.

The nominee must have achieved an outstanding event during the year or championed a specific cause over a period of time.

Selection: The NAPE awards committee and a representative of CCIA will review all nominations and will select the award recipient.

Presentation: This award will be presented each year at the NAPE Annual Awards Breakfast.

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NAPE/CCIA Award
George M. Keiser Award
For Exceptional Leadership

George Keiser began his career in the Iowa Corrections system while attending school at the Iowa State University. He worked as a Correctional Officer, an Institutional Counselor, a Case Worker on a Psychological Unit, as Superintendent of the State Reformatory for Women, and Chief of the Bureau of Correctional Institutions. In 1973 while in graduate school at Iowa, he began working in community corrections. He served seven years with the Iowa Corrections Department as Program Planner, Program Administrator, and Deputy Director of the Iowa Division of Community Correctional Services.

George was one of the authors of the "Iowa Community Corrections Act" which created multi-county public community corrections agencies governed by boards of directors. He also served as a Technical Advisor to the Iowa Crime Commission on the subject of community corrections.

George left Iowa for a position with the National Institute of Corrections, United States Department of Justice, where he has been the Chief of the Community Corrections Division since 1983, managing a public sector consulting / training service for state and local agencies. For almost thirty years George has provided leadership and vision to community corrections throughout the country.

Eligibility: The National Association of Probation Executives and the Community Corrections Improvement Association jointly present this award to an administrator, manager, or supervisor who has demonstrated exceptional leadership under challenging conditions which provided value added activity or service to the organization or community that they serve.

Nomination: Nominations will be accepted from a NAPE represented department and must be approved by the Director and/or the Board of Directors for that department.

The nominee must have achieved an outstanding event during the year or championed a specific cause over a period of time.

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NEWS FROM THE FIELD

ROOD RETIRES IN OREGON

In December 2002, following a distinguished career that spanned 35 years, **Jim Rood**, Deputy Director of the Adult Division of the Multnomah County Department of Community Justice in Portland, Oregon, retired. At the time of his retirement, Rood was serving as Treasurer of the National Association of Probation Executives.

Rood began his career in 1967 as a counselor in a juvenile institution; two years later he became an adult probation and parole officer, and he has remained in the adult criminal justice system. In the 1970s he was Project Manager for a federally funded transition program and negotiated agreements with labor unions to provide training and to assist in the transition of offenders in state prisons. After working as a presentence investigator for several years and as a trainer, Rood moved into community corrections management as a Supervisor of a field probation and parole office. He also served as a Branch Manager and District Manager before assuming his last position.

For the four and half years preceding his retirement, Rood was in charge of the Adult Division and was instrumental in its redesign to institute best practices and data driven decision making.

The Multnomah County Department of Community Justice employs about 700 staff and has a budget of \$74 million. About half of the employees work in the Adult Division.

"It has been a challenging and rewarding 35 years, especially the last five years," said Rood. "Much has been accomplished. I am proud of my 35 years in this profession and am extremely excited about those things we have implemented, especially all aspects of the 'what works' literature. My successor, **Steve Liday**, and the Director, **Joanne Fuller**, will continue the process and see it to full implementation. I intend to stay current and involved in a number of ways with all that is developing across the country, especially in Oregon."

Because of his service to the profession and to the National Association of Probation Executives, the Board of Directors made Rood an Honorary Life Member.

Replacing Rood on the Association's Board of Directors as Treasurer is **Joanne Fuller**, Director of the Multnomah County Department of Community Justice.

BETO VISITS POLAND AND ENGLAND

During the first week of January 2003, representatives of the Criminal Justice Center at Sam Houston State University visited Poland at the invitation of the Polish National Police. During their visit, **Dan Richard Beto**, Executive Director of the Correctional Management Institute of Texas and immediate past President of the National Association of Probation Executives, and **David W. Webb**, Assistant Director of the Law Enforcement Management Institute of Texas, met with the leadership of police and correctional services, observed police training and operations, and examined correctional programs at two prisons.

Following an initial meeting in Warsaw with **Antoni Kowalczyk**, Commander-in-Chief of the Polish National Police, Beto and Webb met with members of his command staff, including: **Wladyslaw Padlo**, First Deputy Commander-in-Chief; **Adam Rapacki**, Deputy Commander-in-Chief, whose

administrative area covers all criminal matters; **Zbigniew Chwalinski**, Deputy Commander-in-Chief, who is responsible for logistics, information technology, and finance; **Miroslaw Skonieczny**, Director of the Chief Commander Cabinet; **Piotr Calinski**, Deputy Director of the Chief Commander Cabinet; and **Tadeusz Wojtuszek**, Director of the Prevention Bureau. These meetings focused on a variety of subjects, including: multinational cooperation in dealing with terrorism and organized crime; strategic planning; community policing activities; the challenge of providing public safety in times of limited financial resources; and the importance of training in a changing world. In addition, these discussions provided an opportunity to compare the criminal justice systems of the United States, Poland, and the United Kingdom.



Pictured, from left to right: Miroslaw Skonieczny, Director of the Chief Commander Cabinet; Dan Richard Beto; Anna Padlo, wife of General Wladyslaw Padlo; David W. Webb and Polly Webb; and General Wladyslaw Padlo, First Deputy Commander-in-Chief of the Polish National Police.

"These series of meetings were particularly beneficial," Webb said. "They provided us with an opportunity to discuss common issues and to better understand Polish policing concepts."

Beto and Webb visited the Police Training Center at Legionowo, where they observed first hand training made available to police personnel desiring to become specialists and who want to assume leadership roles in the police service. A relatively new part of the Police Training Center is the International Specialist Police Training Center, created with the objective of improving the professional skills of police officers in Central and Eastern European countries, with particular emphasis on combating international crime.

Beto and Webb also visited police operations in Krakow, where they were hosted by **Bogdan Klimek**, Assistant Commander, and two members of his staff, **Tomasz Wachowicz** and **Monica Stasiowska**.

Following Krakow, they visited the prison at Nowy Wisnicz, originally built as monastery, with portions of the buildings dating back to 1795. Meeting with Beto and Webb were a number of officials with the Polish Prison Service, including: **Zdzislaw**

Swiatek, Prison Director; **Andrzej Popiolek**, Deputy Director of the Prison Service; **Janusz Kierach**, Regional Director; **Jan Dziewonski**, Legal Advisory to the Presidential Bureau of the Prison Service; and **Tomasz Wierchowski**, International Relations Specialist with the Presidential Bureau of the Prison Service.



Pictured, from left to right: Pawel Suchanek, a police officer and interpreter from Police Headquarters assigned to coordinate the visit; David W. Webb; Wlodzimierz Kedzierski, Commandant of the Police Training Center; Dan Richard Beto; and Marek Flis, Chief of the International Specialist Police Training Center.

"This was a well run prison," Beto noted. "It was clean, industrious, orderly, safe, and hopeful. Col. Swiatek is to be commended for his enlightened administration of this historic institution."

Through meetings with representatives of the Prison Service, Beto and Webb learned that Poland did not have a formal probation service. When probation is used it is done so as the result of an individual judge.

On their return trip to Warsaw, Beto and Webb visited police headquarters at Radom, where they met with Commander **Wieslaw Stach** and Deputy Commander **Andrzej Palczewski**. While in Radom they also visited the newest prison, under the direction of **Marek Borawski**.

"Our Polish hosts were extremely kind to us," said Webb. "There is no doubt that this trip, and reciprocal trips to Texas, will foster a mutually beneficial relationship between the Polish Police and the Criminal Justice Center."

"We could not have asked for better treatment; the hospitality extended to us by the Polish Police exceeded all expectations," added Beto. "It is my hope that we can expand on our cooperative relationship with Poland to include the Prison Service. In addition, I would like to further our discussions about the expanded use of probation as a correctional sanction."

On their return trip to the United States, Beto and Webb stopped in London for a couple of days, during which they were provided a briefing by a team of probation officers. This meeting, which lasted an entire afternoon, was coordinated by **Caroline Lashley** with the London Division of the National Probation Service. Other participants included: **Martin Hurcomb**, who spoke about presentence reports; **Sandra Norton**, a Senior Probation Officer involved in the supervision of high risk offenders and developing police-probation partner-

ships; **Jessica Kelly Ray**, who coordinates the placement of offenders in hostels; **Canan Morton**, the only Turkish speaking officer in the service, who spoke of the special needs of asylum seekers; **Mary Wilson**, Manager for the Kingston and Richmond Boroughs; and **Liz Riddle**, who discussed case planning.

Following the briefing, Beto and Webb met with **Eithne Wallis**, Director of the National Probation Service for England and Wales, and **David Perry**, Head of the What Works Initiative. This meeting focused on recent developments in the administration and delivery of probation services.

"Our British colleagues have engaged in a process to create a probation system that is rational, holds offenders accountable while affording them opportunities to succeed, and addresses the public safety concerns of the citizens of the United Kingdom," Beto said. "They have the strategic plan and the leadership to develop a probation system that will be the envy of the world."

EXECUTIVE DEVELOPMENT PROGRAM FOR NEW PROBATION AND PAROLE EXECUTIVES HELD

On March 2-7, 2003, the 13th Executive Development Program for new probation and parole executives was held at the George J. Beto Criminal Justice Center in Huntsville. This program, a joint initiative of the National Institute of Corrections, National Association of Probation Executives, and the Correctional Management Institute of Texas at Sam Houston State University, is designed to assist new probation and parole executives during their first year as chief executive officers of an agency. Topics covered during this week-long course included leadership development, working within the organization, surviving the political arena, strategic planning, team building, presentation skills and media relations, legal issues, networking, and reinventing probation.

Members of the faculty included: **George Alexander**, Director of the Erie County Adult Probation Department in Buffalo, New York; **Dan Richard Beto**, Executive Director of the Correctional Management Institute of Texas and past President of the National Association of Probation Executives; **Ron R. Goethals**, Director of the Dallas County Community Supervision and Corrections Department in Dallas, Texas, and President of the National Association of Probation Executives; **Martin J. Krizay**, Director of the Yuma County Adult Probation Department in Yuma, Arizona; and **Cheryl K. Townsend**, Chief Juvenile Probation Officer for Maricopa County, Arizona, and Secretary of the National Association of Probation Executives.

In addition to the regular faculty, **Rolando V. del Carmen**, Distinguished Professor of Criminal Justice at Sam Houston State University, and **Jack E. Enter**, President of Criminal Justice Enterprises, assisted in delivering relevant training. **David Epps** with the Criminal Justice Center's Media Services also assisted in making the program a success.

Participants came from all over the United States and included: **Rufus Bell** from Virginia; **Lora Cole** of Mississippi; **Daniel R. Craig** and **Matthew Gelvin** from Iowa; **George Hernandez** of Texas; **Michael Kruleich** and **Richard Rimmer** from California; **Brady Lee** and **Chuck Moter** from Arizona; **Regina Alexander-Mack** of Washington; and **Michael C. Potteiger** from Pennsylvania.

J. Richard Faulkner, Jr., with the National Institute of Corrections, and **Christie Davidson**, Program Coordinator with the

Correctional Management Institute of Texas, provided logistical support for this national program.

The Texas Department of Criminal Justice provided transportation for participants between Houston Intercontinental Airport and the Criminal Justice Center.



Faculty and participants of the Executive Development Program

The next Executive Development Program is scheduled for September 2003. NAPE members who know of new probation executives in their respective areas are encouraged to contact Ron R. Goethals (214/653-5202) or Dan Richard Beto (936/294-1675).

CORRECTIONAL LEADERSHIP SEMINARS INSTITUTED

On February 5, 2003, the Correctional Management Institute of Texas held its first of several George J. Beto Correctional Leadership Seminars. These seminars, named in honor of the late **George J. Beto** – a clergyman, educator, and correctional administrator – will be offered in varying formats over the year. According to **Dan Richard Beto**, the Institute's Executive Director, "while the formats may vary, the focus of the seminars will be on the subject of correctional leadership and will feature as speakers practitioners and educators recognized as experts in the field."

The inaugural seminar presenter was **Ronald P. Corbett, Jr.**, Executive Director of the Massachusetts Supreme Judicial Court, who focused on the subject of "leadership from the ranks." Approximately sixty officers and mid-managers from adult and juvenile probation departments and parole offices attended this first seminar.

Dr. Corbett, a past President of the National Association of Probation Executives, began his criminal justice career in 1972 after graduating cum laude from Harvard University. He initially worked for the Massachusetts Department of Youth Services and later as a probation officer and Assistant Chief Probation Officer for the Brookline Division District Court. In 1982 he joined the Office of Commissioner of Probation as a Regional Administrator. During his tenure in the Commissioner's Office, he held several positions of increasing responsibility, cul-



Ronald P. Corbett, Jr.

minating with his promotion to Deputy Commissioner for Field Services, a position he held until being named Executive Director of the Massachusetts Supreme Judicial Court in 2000.

During his community corrections career, Dr. Corbett earned a master's degree in criminal justice from Northeastern University and a doctorate in education from the University of Massachusetts at Amherst. In addition to his duties with the Massachusetts court system, Dr. Corbett serves as an adjunct faculty member in the Criminal Justice Department at the University of Massachusetts at Lowell. He also serves a Chair of the Re-inventing Probation Council of the Manhattan Institute in New York. Dr. Corbett is widely published and is considered a leader in the community corrections field.

The George J. Beto Correctional Leadership Seminars is one of the Institute's new initiatives to assist in the development of emerging leaders in the adult and juvenile corrections profession.

NEW MEMBERS

Since the Fall 2002 issue of *Executive Exchange* was published, 13 new members have joined the National Association of Probation Executives. The new members include:

Rufus Bell, Chief Probation Officer, Virginia Probation and Parole District 3, P.O. Drawer D, Portsmouth, Virginia 23705.

Ty Choate, Director, Henderson County Community Supervision and Corrections Department, P.O. Box 790, Athens, Texas 75751.

Elyse Clawson, Executive Director, Crime and Justice Institute, 355 Boylston Street, Boston, Massachusetts 02116.

Lora Cole, Deputy Commissioner, Community Corrections Division, Mississippi Department of Corrections, 723 North President Street, Jackson, Mississippi 39202.

George E. Hernandez, Director, Judicial District Community Supervision and Corrections Department, 401 East Market Street, Lockhart, Texas 78644.

Michael Kriletich, Chief Probation Officer, Amador County Probation Department, 255 New York Ranch Road, Jackson, California 95642.

O. Brady Lee, Chief Probation Officer, Graham County Adult Probation Department, 800 Main Street, Safford, Arizona 85546.

Regina Alexander-Mack, Chief Probation Officer, Lynnwood Municipal Court Probation Department, P.O. Box 5008, Lynnwood, Washington 98046.

Chuck Moter, Chief Probation Officer, Apache County Adult Probation Department, P.O. Box 2249, St. Johns, Arizona 85936.

Michael C. Potteiger, Chief Probation Officer, Northumberland County Adult Probation Department, 203-A Market Street, Sunbury, Pennsylvania 17801.

Rick Rimmer, Deputy Director, Parole and Community Services Division, P.O. Box 942883, Sacramento, California 94283.

Monica Schneider, Manager, City of Olympia Municipal Court/Probation, P.O. Box 1967, Olympia, Washington 98507.

William A. Sommers, Director of Probation, Calcasieu Parish Office of Juvenile Justice Services, P.O. Box 2073, Lake Charles, Louisiana 70602.

In addition to the individual members, one organizational member joined the Association:

Judicial Intervention Services, Inc. (Robert L. Crawford, Jr., President/Chief Probation Officer), P.O. Box 1446, Jackson, Georgia 30233.