

National Association of Probation Executives EXECUTIVE EXCHANGE

ISSN 1075-2234

WINTER 2005

PRESIDENT'S MESSAGE

During a recent meeting held to plan our five-year review of "Reinventing Probation," there was a lively discussion that seems to characterize any NAPE gathering. One of the questions that was asked really struck me. The question was simply, "What does the system pay Probation and Parole Chiefs to do?" A follow up question was, "What will guarantee their tenure?" I believe these questions resonated with me, because I have recently been considering what a "Leadership Report Card" would look like for us.

We seem to continue to have difficulty operationalizing public safety for probation. And, that means we have a fundamental gap in our report card. The obvious steps that we take are to add visibility with law enforcement. Some departments take steps that some say make them look like junior law enforcement. But, we still don't seem to be able to provide a bottom line for probation. Very few departments identify unique **measurements** that are equivalent to what other organizations utilize to calculate their contributions to public safety.

Is it still our bottom line to reduce recidivism? Is it to achieve complete payment of restitution within a time that the victim of the crime determines is reasonable with a penalty (to the victim) for late payment? What do



we contribute to that? Is the bottom line to conduct comprehensive offender assessments and then target only the high-risk or problematic offender populations for appropriate evidence-based programming and supervision? Do we do these things or do we just write and talk about them? Do we define our bottom line by what we are funded to deliver, even if it has no evidence-based contribution to public safety?

"A commitment to performance-based initiatives requires that probation agencies develop appropriate and effective programming, draw on research that speaks to what works, and pay careful attention to program design, implementation, and evaluation...Proper program implementation necessarily starts by collecting base-line information, followed by program and staff assessments. The next step involves developing time frames for the management and implementation of an action plan. It is

essential that effective oversight occur to guard against program drift, or informal efforts by staff that by intent or lack of understanding seeks to change or modify the original goals or design of the program."

Excerpt from *Transforming Probation through Leadership: The "Broken Windows" Model*

As leaders we are prone to staying in our comfort zones. Though we don't receive a report *continued p. 2*

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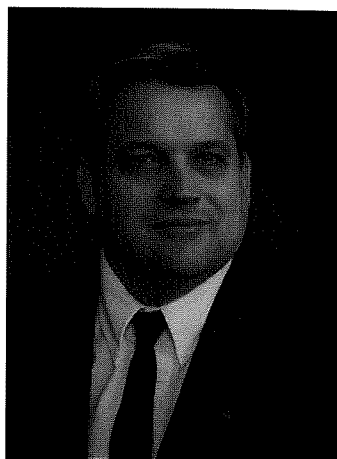
GUEST EDITOR'S MESSAGE

I am pleased to serve as your guest editor for this edition of *Executive Exchange*. The authors who contributed to this issue have great experience in the field of probation and are experts in their subject matter.

Past President Robert L. Bingham is joined with managers from consulting firm Crowe Chizek and Company to contribute an interesting article on the application of business principles to redesigning probation services and activities.

Mario Paparozzi from the University of North Carolina has been published many times previously and he provides an interesting article to continue the discussion around "Broken Windows" probation.

Nicole Pizzini is one of the nation's top workforce development professionals working in the probation field. She provides a mix of insights to suggest a more enlightened approach, using better employment to attain the successful outcomes needed to keep a probationer on the straight and narrow.



Steve Street's article unveils my own department's new generation of our copyrighted Matrix. This brand new version is being field tested as of this writing with great success.

Inside this edition you will also find many other interesting announcements and information about our field.

As always NAPE is your professional resource. If you have pressing issues to deal with, new programs to begin, organization change in sight, or if you are trying to define new outcome-based performance measures NAPE can connect you with other professionals who may be of help to you. NAPE is on the forefront of the reinventing probation movement and developing police-corrections partnerships.

I hope you enjoy this edition.

Gerald R. Hinzman
Vice President
Iowa

PRESIDENT'S MESSAGE *cont'd*

card, most of us know what is expected of us. For some, the expectation is simply to stay within budget. For others, it is to stay within the comfort zone of others, which may impact policy, personnel, or other decisions. For some, the expectation may be to be purpose-centered, other-focused and externally open. It may even be to fundamentally change our probation and parole business to define our bottom line and only do those things that contribute to that bottom line.

Found in this issue is a tribute to Barry Nidorf. Barry was one of those leaders who did not stay in the comfort zone. He contributed to fundamental changes in this profession. He courageously used the knowledge and data that was available to him to achieve a purpose. He

engaged in self-change as well as organizational change. He was not perfect, but he was a great leader.

Our Leadership Report Card may need to include those things that keep each of our organization's running and the people and groups that we report to happy. But, our report card also needs to measure to what degree we stepped outside our comfort zone and defined and pursued our jurisdiction's bottom line for public safety. It needs to define and establish as benchmarks those characteristics that describe one of probation's great leaders, Barry Nidorf.

Cheryl K. Townsend
President

BARRY J. NIDORF: A TRIBUTE

Barry J. Nidorf, a giant in the field of corrections, died at Kaiser Permanente Medical Center in Woodland Hills, California, on December 13, 2004, of complications from leukemia; he was 63 years of age.

Barry, a native of Los Angeles, received a bachelor's degree from the University of California at Los Angeles and later earned a master's degree in public administration from the University of Southern California.

Following honorable service in the U.S. Air Force in the early 1960s, Barry joined the Los Angeles County Probation Department in 1965. He held a number of positions of increasing responsibility within the department until being named Chief Probation Officer in 1984, a position he held until his retirement in 1997.

As Chief Probation Officer for Los Angeles County, Barry was responsible for the largest probation department in the nation, which included more than 4,000 employees supervising more than 80,000 adult and 16,000 juvenile offenders.

During his correctional career, Barry was active in a number of professional organizations and served on hosts of committees and councils. He had been a member of the Advisory Board of the National Institute of Corrections and served on the Board of Directors of the National Association of Probation Executives.

In 1989 he was the first recipient of the *Sam Houston State University Executive of the Year Award*, given jointly by the National Association of Probation Executives and the Criminal Justice Center at Sam Houston State University.

Despite the demands of the job and his busy schedule, Barry added value to correctional scholarship by contributing articles and essays to *Executive Exchange*, *Perspectives*, and monographs produced by the National Institute of Corrections.

Barry was preceded in death by his first wife, Linda. He is survived by his wife, Carol; two children from his first marriage, David and Lisa; four grandchildren; and his sister, Sandra.

Over the years Barry touched the lives of many people, and several have provided their remembrances of him.

A Great Friend

Several weeks ago I received a shocking phone call telling me Barry Nidorf, former Chief of the Los Angeles

County Probation Department, had died. Barry had been — in his mind and ours — successfully battling a form of adult onset leukemia. Only weeks before we had talked about his last round of treatments and the confidence he and his doctor had regarding the anticipated results.

Battle and confidence were words I easily associated with Barry. He was about the most positive person I knew. Having run the largest probation department in the world never dampened his spirits. He was both convinced and convincing that we could make a positive difference in the lives of people with whom we made contact — it made no difference whether ward, probationer, staff, family member, friend or stranger.

Barry made a difference in probation by never being satisfied that past performance was good enough. He was open to learning of new evidence that would improve desired results. The better idea didn't have to come from his mouth to take on significance. It merely had to pass through his mind and be understood. Once understood credit could easily be attributed to the original author. Barry didn't want credit; he wanted improved results. He was as quick to acknowledge the issues faced by

small departments being as legitimately important as those encountered by the mega-departments.

I not only worked with but also for Barry. He served on the National Institute of Corrections Advisory Board for over a decade. During that time he challenged me to grow, confronted ideas without attacking people, and promoted policy adopted by NIC.

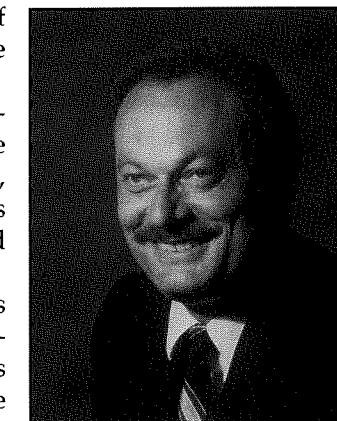
I once told a friend that Barry was an older brother I never had. She said, "No, he is more than that. A brother is a relative you don't choose; this was a relationship you both chose."

With his death I lost a good friend! Whether you knew him or not, you lost one too.

George M. Keiser
Washington, D. C.

A Directional Beacon

Barry Nidorf was a directional beacon for the corrections profession. He was a quiet man prone to listening rather than speaking. When he did speak, he spoke with his own wisdom as well as a wealth of wisdom gathered from others. Barry was an imposing figure, partly



because of his physical size and partly because of the enormity of his position. And yet, he was a very humble man, respectful of other people and their opinions.

He was a mentor to a whole generation of probation executives. I personally am very grateful to Barry for the large part he played in my professional growth. He was a constant example of how one could succeed in our profession and maintain one's personal integrity.

The world has lost a very good and gentle man, the profession has lost a sage, and I have lost a good friend.

Ron R. Goethals
Texas

Probation's Compassionate Advocate

Barry Nidorf was a man of compassion and charm. He had a graceful ease about him. He was a legend in the world of probation, running the largest probation department in the world in one of the most difficult times in recent history. His vision remained constant.

His uncanny ability to move political mountains that faced probation benefited all of us, and those we serve. As a probation officer from a smaller county, I admired his willingness to share and his advocacy on behalf of the profession of probation. Our philosophies were quite different, but we found common ground in a sincere belief that probation is the centerpiece of criminal justice. His smile and the wonderful twinkle in his eyes will remain with me always. His wry sense of humor broke many a tense moment.

Barry was a leader who had few peers, and we are all better for knowing him. As a probation officer, I will remain indebted to his generous wisdom.

Helen Harberts
California

A Great Man

I first met Barry Nidorf at an APPA Conference in Reno in 1989 — the year he was named "Probation Executive of the Year" by the National Association of Probation Executives and Sam Houston State University — and it was difficult for me to fully appreciate and fathom the enormity of his job — running the largest probation system in the world. At that time my department was roughly 130 adult and juvenile employees, and my duties and responsibilities were seemingly picayune in comparison. I marveled at his ability in staying current and doing the right thing while managing not only the largest but most diverse probation system anywhere.

In addition to the awesome responsibilities he had in Los Angeles County, I was overwhelmed by Barry's contributions to the field of probation at the national level.

He was a great man for a great job, and he truly made a difference.

Robert L. Bingham
Indiana

Big Guy

Those of us who were fortunate to have known Barry Nidorf feel the tremendous loss that has resulted in his untimely passing. Whenever I was in Barry's company I would refer to him as the "Big Guy." He was truly a giant among his peers for more reasons than his physical stature.

His leadership ability as the Chief Probation Officer of the largest probation department in the United States as well as the many articles he contributed to our field will serve as a lasting testimony to the man we all truly admired. It was an honor and privilege to have known him. Barry will be missed.

Rocco A. Pozzi
New York

A Faithful Servant

In the Apostle Paul's second letter to the church at Corinth, he wrote "it is required in stewards that a man be found faithful."

In this epistle, Paul tells us that whether we are rich or poor, influential or insignificant, brilliant or mediocre, we are expected to use whatever we have, whatever talents we may possess, for the greater welfare of mankind. Barry Nidorf did that throughout his life. In a sense, that admonition could have been Barry's motto for his life.

Barry was, above all, faithful. He was faithful in his relations with his family and friends; he was faithful in the performance of his duties in the criminal justice system and elsewhere; he was faithful in his concern for the welfare of his state and nation; and he was faithful to his God.

Barry was a faithful servant leader who devoted his entire life to serving others and, in doing so, not only did he make the world a better place, he served as an example for others to emulate.

Dan Richard Beto
Texas

APPLYING BUSINESS PROCESS REVIEW AND REDESIGN TO PROBATION

by

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Every organization, from McDonald's to Microsoft to Wal*Mart, depends on defined processes and sequencing of tasks to carry out functions in a systematic and organized manner. Without them, chaos would ensue, employees could not be trained, and quality would occur by chance instead of by design. Probation and parole departments are no exception.

Yet over time, defined processes and workflows may become stale, stagnant, less effective and inefficient. A new employee without complete training may perform tasks in the wrong order. An employee transferred in from another division within the organization may feel that she doesn't need to follow procedures because she "knows her way around." Here too, probation and parole departments can experience similar types of employee behavior and their negative impact on efficiency and quality.

And of course, the landscape constantly changes. Consumers always want more services and features for less money. Fast food "value meals" and the growth in discount warehouse clubs are examples. New local, state and federal laws and regulations force changes on enterprises of all types. Once again, probation and parole departments everywhere must respond to these changes in their operating environments, whether by providing more services, reducing costs or increasing accountability.

To stay current, organizations should periodically engage in a process review effort to identify processes that are ineffective or outdated, and redesign them to restore productivity, efficiency and quality. This article explores one probation department's experience with a systematic review and evaluation of its business process, and redesign of them for increased efficiency. We will provide an overview of the department first, including how the climate of the county provided a strong foundation for dramatic process changes. Then we will introduce the process improvement project, outlining the method used to systematically evaluate and implement change. Third, we will share details of the review and redesign for each of the selected process areas, discussing the successes and lessons learned in each. Last, we will describe the benefits of the overall project.

Overview

About the Department

Marion Superior Court Adult Probation Department is a large, urban agency, which serves the City of Indianapolis and Marion County, with a population of more than 860,000. The Department was formed in 1996, bringing together separate municipal

(misdemeanor) and superior (felony) courts' probation departments. Today, the Department employs 193 with an annual operating budget approaching \$6 million. The staff supervises approximately 11,400 active cases each day, with roughly 50% of the probationers carrying misdemeanor convictions and 50% felony convictions. Since 2001, the Department has been rapidly decentralizing operations. Currently, probationers and staff alike provide the bulk of supervision services through neighborhood-based offices that have been well received. The Department traditionally has been understaffed, with past and present caseloads exceeding state-established contact standards.

Climate of Change in Marion County

Since 2002, the Marion Superior Court had been undertaking process review and redesign projects across many of its functional areas, including lower felony, misdemeanor, civil and traffic court divisions, using the consulting firm that had earlier led similar efforts to modernize and streamline the county's arrestee intake process and the pre-trial supervision program. These initiatives with the court spawned from a joint strategic planning effort by the Court and the City-County Council in 2001.

The Court extended the opportunity to the Probation Department to undertake a similar process review and redesign project, and the Department did not hesitate to accept the challenge. With the Court's approval and input from probation administration, we decided to examine four probation service areas: intake, pre-sentence investigations, supervision and the probation violation/ revocation (non-compliance) process.

The Business Process Review and Redesign Components

Approach

The Court engaged a consulting firm to facilitate the process review and redesign project. The consultants brought an innovative, *team-based* technique to the Department known as Business Process Review and Redesign (BPRR), to methodically review processes and determine what areas, if any, needed to be redesigned. Unlike a management-based or consultant-driven method, the *team-based* BPRR approach creates opportunities for collaboration across functional areas and at all levels within the organization that often do not exist in a large department. Additionally, the collaboration facilitates greater buy-in among those stakeholders who will be asked to implement the new process.

Thirteen individuals were carefully selected to participate on the BPRR Core Team, including the chief probation officer, two deputy chief probation officers, six supervisors, and four line personnel. Specialists and service experts within the Department were routinely tapped to attend all or some of the regularly scheduled process and redesign working sessions. The Core Team met twice a week for two and half-hours at a time over a period of six months. Once the process was redesigned, the group met weekly for a period of six months for two hour working sessions to plan the implementation of the redesign. In total, over 1,900 staff hours were committed to the project over a period of one year.

Two professionals from a consulting firm specializing in Justice and Public Safety were selected to lead the project team. The individuals selected for the project were experienced in facilitating their proven BPRR methodology that was tailored to the specific needs of the Department. While the consultants were familiar with the criminal justice system, particularly in Marion County, their value to the project clearly was instead their mastery of systematically reviewing and redesigning processes.

Overview of the Process

Using their BPRR methodology, the consultants facilitated the initial meetings to develop the project team’s understanding of important core process issues and values that would impact the project’s overall direction and outcome. Core questions addressed during this phase included:

- What is the purpose of the process?
- What is the vision of the project and the anticipated results?
- What are the parameters of the project?
- Who are the customers?
- Who are the stakeholders?
- What is the Department currently doing well that can be leveraged into increased success?

After these core questions of the process were answered, the team flowcharted the current process. This allowed each step in every process to be analyzed and charted against roles within the organization, simplifying the identification of unnecessary handoffs and delays. During the documentation of the process areas, core team members made many statements of “I didn’t know we did that!” The consultants assured the Department that this was not unique — many departments have veterans and experienced staff reviewing and redesigning processes, yet no one person knows all of the intricate details of the entire process. Therefore, the practice of documenting the process from start to finish enabled the entire project team to go through a discovery process in which all members learned more about the process.

After the current processes were documented, the team calculated numerous statistics to use as a baseline to compare the forthcoming redesign. The team then engaged in extensive research looking at best practices and benchmark opportunities, including industry associations and other urban departments. Each idea then was evaluated on the potential impact its implementation would have on the system and the feasibility of implementing it.

Finally, the team began designing a new process for intake, PSIs, supervision and response to noncompliance. Starting with a blank

sheet of paper, the team created new processes for in each of these areas. Each of these redesigns is explored in detail below.

The Process Review and Redesign of the Department

Intake

Serving over 11,400 active probationers, the Department receives approximately 40-50 new cases each workday. The existing process utilized probation officers heavily in receiving cases, providing group orientation, reviewing and explaining individual conditions of probation, calculating and explaining payment conditions, making referrals, and assigning cases to supervising officers. The process was slow, cumbersome, inefficient, officer-dependent, and prone to error.

Using the flowcharts of the current process, the team confirmed that the transition from court order to supervision by a probation officer was an unduly long and slow process. Probationers were told to report to the probation office after sentencing to complete initial paperwork. Then, probationers were scheduled to return approximately three days later to participate in a group orientation session lasting approximately 30-45 minutes. Finally, probationers who were ordered to participate in an alcohol and drug evaluation (about 60% of all probationers), were required to return to the probation office a third time for the evaluation component, which would often occur as late as ten weeks after the court order. The initial meeting with a probation officer would usually occur within 15 to 20 days of sentencing. The entire process was unacceptable to the Core Team, as it required probationers to return too many times to complete intake processing, often resulting in missed appointments, unplanned down-time for officers and large recovery efforts tracking down and re-scheduling probationers who failed to appear.

Starting with a blank sheet of paper, the Core Team asked the question, “What is the best way to get probationers in the system quickly and efficiently, speed up the evaluation process so treatment may begin sooner, and provide the opportunity for probation to begin supervision starting the day of sentencing?” The consultants continually challenged the Core Team to think big — nothing was sacred. During the redesign phase, the consultants were able to ask the tough, uncomfortable and unpopular questions given their objectivity and independence from the existing system. One team member stated that the use of outside consultants as facilitators “provided legitimacy to needed changes that could have been controversial among staff” since the intake redesign was such a significant change.

The new model represents a significant improvement over the former system. The redesigned process offers probationers the following benefits:

- A one-stop shop for intake;
- Substance abuse evaluations, orientation, baseline drug screen and referrals to court ordered programs are completed the same day as sentencing;
- Reduced time to first appointment, so supervising officer would see probationer within ten days of sentencing;
- Probationers now arrive at their first supervision appointments with treatment already in progress;
- Files are delivered to satellite office case officers within one day and are reviewed for quality assurance prior to distribution to case officers;

- Orientation is conducted by a videotape that includes judge and commissioner participation and ensures consistency of message in both English and Spanish; and
- Failures to appear from initial contact to first appoint have been virtually eliminated.

Overall, the new process design for intake is a radical change. As the Chief Probation Officer continually stated, “We didn’t just change intake as we know it, we rebuilt it brick by brick.”

Figure 1

Process Task	Current (Day)	Redesign (Day)	Difference
Data Entry I	1	1	0%
ID Card	1	1	0%
Fee Assessment	2	1	50%
Case Assignment	2	1	50%
Data Entry II	3	1	67%
Orientation	4	1	75%
Order of Probation Signed	18	1	94%
Pay Agreement Signed	18	1	94%
Program Referrals	18	1	94%
First Appointment	18	8-9	53%
First Drug Screen	18	1	94%
Substance Abuse Evaluation	42	1-2	96%
Elapsed Time (days)	42 days	8-9 days	82%

Figure 1 illustrates how process review and redesign has significantly reduced the time needed to complete a variety of intake activities. Additionally, the FTA rate for substance abuse evaluations has decreased, since they are now completed as part of the one-stop shop for intake. The Intake Supervisor commented on the new process, “I love to see a work formula that uses efficiency to produce effectiveness. Effectiveness not only as it relates to savvy business operations but also as it relates to getting through to the probationer. This redesign uses my staff where their strengths lie. I am much more comfortable in this new model because there is now a standard practice and protocol for doing most everything. I can now take time off with much more confidence than I had with the former model.”

Pre-Sentence Investigations

The PSI unit completes over 4,000 reports annually and the on-time rate for the reports has been over 98%. This is outstanding, considering the volume. However, the Core Team sought to chart out the process to determine if more efficiencies could be gained from streamlining the process. After the flowcharts were completed for the PSI unit, the team determined that the process was strong and dependable, although PSI reports could be completed more quickly under a new process. Under the current model, PSI writers had 29 days from the time of the court order to complete the report.

While the BPRR project was underway, the County was experiencing significant overcrowding in the jail. To impact defendants’ pre-trial length of stay, the PSI team was asked by

the Superior Court judges to complete reports for in-custody defendants more quickly. Through the redesign efforts and the guidance of judicial officers, the team was able to design a solid model that would allow PSI reports to be completed within 21 days of the court order.

Additionally, the Core Team made several changes to the PSI process, which yielded the following benefits:

- Increased productivity for PSI officers by eliminating wait time through conducting interviews the day after conviction in the courts building instead of time in jail;
- Improved security for PSI officers, as the new model allowed PSI staff to interview defendants in a secure area;
- Eliminated need for out of custody defendants to call the department for an appointment time;
- Streamlined process of obtaining pertinent court documents to writers prior to interview;
- PSI assignment tracking reduced from three forms to one;
- Computer enhanced reporting capabilities process for assignment and workload balancing; and
- Restructured production of monthly statistics which now require less effort.

A PSI Supervisor is pleased and encouraged with the redesigned process. He stated “the Process Redesign was extremely helpful in restructuring our monthly statistics. Our stats can now be completed with a few simple keystrokes. The redesign also assisted with the implementation of the new bond assignment process. Defendants who report to the office after Court are now given an appointment and assigned an officer before leaving the office. Some may even be interviewed that day, if available.”

Supervision and Non-Compliance

The Core Team examined the casework and non-compliance processes simultaneously, given the tight connection and interrelationship between the two functions. Beginning with flowcharting of the current process, the team identified two significant issues.

Probation officers were unable to meet state standards for field contacts, resulting in the “bunker” approach to probation — too much time spent behind a desk pushing paper and too little time spent on probationers’ “turf.” Additionally, probation officers were involved with numerous administrative tasks that could have been handled by support staff. However, the Core Team discovered the response to non-compliance was already strong and would require little enhancement.

After completing best practice research, the Team began with a blank sheet of paper and charted out a new supervision process. By shifting administrative functions to support staff, the Core Team was able to free up some time for the supervision officers so that they could be out in the field more often. The major changes and benefits of the supervision redesign included:

- Tighter fit of staff skills to task assignments, by shifting administrative tasks to support staff;
- Treatment already in process by first appointment;
- Increased ability to focus on supervision planning during first appointments; and

- Improved probationer compliance with more timely intervention.

One Casework Supervisor summarized his experience with the project, saying, "It has meant to me, a probation officer for fifteen years, a great deal to see our Department striving to be the best; striving to become more efficient and more effective in carrying out daily duties. By doing so, morale has improved, services to the community have improved, credibility improved and 'walking the walk' demonstrated."

Another Casework Supervisor stated "the process redesign afforded us the opportunity to redirect administrative duties to other sources while eliminating unnecessary tasks, introducing previously discussed ideas which were sidelined due to a loss of focus, and create new processes. Overall, it will enable officers to shift their focus to fieldwork, enhance community awareness and protection, and better meet probationer needs."

Overall Project Successes

The improvements made by redesigning supervision, PSIs and the intake process areas have had a significant impact on the Department. Overall, there is a tighter integration of functions, a heightened sense of teamwork and common purpose in many areas and a new culture of change in which change is less intimidating. In fact, a Deputy Chief Probation Officer now says, "This process has improved the flexibility of my thinking. Now that this new process is underway, I find myself continually thinking of additional ways to improve the quality of the services we provide."

An unexpected side benefit resulted from line officers throughout the Department. Prior to implementing the redesign changes, feedback sessions were held at each satellite office and opened to anyone to participate, many staff commented that they were excited to see a modern approach brought to the Department. They reported a new sense of engagement and commitment, knowing that their Department was seeking and making changes to remain progressive and state-of-the-art.

Throughout the project, care was taken to ensure that the changes implemented by the process review and redesign project were consistent with several key strategies for probation profession improvements contained within the 2000 monograph, *Transforming Probation through Leadership: The "Broken Windows" Model*. Namely, the project's recommendations created tangible time-savings for officers that allowed for greater community presence and increased home visitation. Furthermore, resources were more rationally and strategically allocated to best serve the Department's mandated duties and responsibilities.

For Departments wishing to undertake such a significant process change, consider the following lessons learned from this undertaking:

1. A diverse Core Team is essential, with all levels and divisions of the organization represented. The team breadth and depth will allow for lively discussions and honest assessment of what is done well and what needs to change.
2. The Core Team must first have an accurate and thorough understanding of the current process in order to develop a valuable new process. A significant investment in

documenting existing practices produces dividends in a more impactful redesigned process.

3. Preparation is essential to implement a new model. The consultants/facilitators that assisted with the process design could help the organization implement the new model by serving as implementation project managers and quality assurance reviewers. Proper updates to procedures manuals and staff training on the revisions is critical. This helps the organization stay focused on transitioning to the new model, and prevents the organization from reverting to the original model.
4. Keeping stakeholders informed of the process changes through the transition is imperative. A smooth transition is possible only if all players in the criminal justice system who are impacted by probation are kept informed of the changes as they are developed and refined, not simply when they are implemented.

For the Marion Superior Court Adult Probation Department, the process was a resounding success. The Chief attributes much of the success to the involvement of the outside consultants. "Could we have completed the project internally? Maybe, but no doubt, we would have designed an inferior product without our consultant's objectivity and their willingness to ask the tough, uncomfortable, and unpopular questions of our staff. We are now leaner and meaner and simply better in the targeted areas." A Deputy Chief Probation Officer stated, "I have developed an appreciation for the method of systematic review conducted by individuals not related to our profession, but skilled in the process of detailed analysis. Overall, I am delighted by the practical results that have been realized. I am confident that our Department has dramatically improved the quality of our intervention with probationers."

In a time of significant financial challenges confronting the Department, this project was vital to maximizing the resources it had. The Chief was asked if the Department really could afford to tackle the project with the involvement and cost of outside consultants. His response: "We couldn't afford not to."

Reference

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NEXT STEPS AND CONSIDERATIONS FOR BROKEN WINDOWS MODELS IN PROBATION AND PAROLE

by

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Background

Violent crime has been of paramount concern in several of this nation's large, urban centers for many years (Blumstein & Rosenfeld, 1999). Specifically, problems such as rising crime, delinquency, teen suicide, and an increasing number of young males at risk for killing or being killed has required criminal justice line staff, managers, and highly placed policy makers to consider crime prevention alternatives radically different than the 'status quo' (Beto, Corbett, & DiIulio, 2000). How to address these problems effectively and efficiently has been the greatest challenge.

In the mid-1990s, Massachusetts' Boston Roxbury district probation department entered into a new collaborative role with some likely, and not so likely, justice system partners. The new collaborative relationship primarily included federal, state, and local law enforcement authorities as well as local religious leaders (Manhattan Institute Center for Civic Innovation, 1999). The Boston experiment involving probation/law enforcement/faith-based partnerships, formally known as "Operation Night Light," received national attention at professional conferences and was credited with dramatic reductions in crime, delinquency, and teen suicide rates in parts of the city where previously there was little hope for amelioration of the personal, social, and economic chaos caused by these seemingly intractable social problems.

The collaborative criminal justice partnerships formed under Operation Night Light, a de-facto and robust community justice paradigm, involved four key ingredients: a) placing local delinquents, criminals, and would-be criminals on notice that gilded partnerships had been formed across the spectrum of federal, state, and local law enforcement authorities (including probation and parole), assuring that disorder and crime would be anticipated, detected, and responded to with certainty, celerity, and severity; b) involving local religious leaders in assuring a "just" fight against disorder and crime with the goal of enhancing human and social capital by rebuilding families, neighborhoods, and communities; c) getting probation officers out from behind their desks and into the streets working with other law enforcement personnel; and d) assuring that violations of conditions of probation were taken seriously (Manhattan Institute Center for Civic Innovation, 1999).

By the end of the 1990s and the beginning of the new millennium, notwithstanding a paucity of methodologically sound program evaluation evidence regarding the initiative's efficacy, national professional associations as well as prestigious policy-oriented think tanks touted Boston's new paradigm for community-based offender supervision as probation and possibly parole's roadmap for public relevance (cf. Dickey & Smith, 1998; Manhattan Institute Center for Civic Innovation, 1999).

This new community justice paradigm, however, also had detractors who expressed concern that the role of probation and

parole was in danger of being usurped by other, overpowering law enforcement partners (e.g. prosecuting attorneys and policing organizations), and that partnerships between government and religious institutions raised serious issues concerning separation of church and state (Taxman & Byrne, 2001; Schneider, 2001). Detractor's feared that in their haste to join ranks with other traditionally criminal justice-oriented agencies, probation and parole officers would over-identify with activities associated with surveillance and law enforcement, thereby obfuscating critical boundaries that exist between probation's "assistance-oriented" role and traditional enforcement roles.

Critics predicted that implementation of the community justice model (aka "broken windows" probation and parole) would result in two significant outcomes: a) the widening of society's formal net of social control, resulting in dangerous expansion of criminal justice authority; and b) unnecessary increases in rates of technical violations (Taxman & Byrne, 2001). These concerns were based on published descriptions of the Manhattan Institute's reinventing probation initiative; one that portrays probation and parole, the critics argue, as more law enforcement and surveillance oriented than driven by concerns for delivering treatment and social services to probationers, their families, and the communities in which they lived (Manhattan Institute Center for Civic Innovation, 1999).

Whether the criticisms of this innovative community justice model are valid remains an open question; we think that they are not. The central question, we believe, is whether or not the service and enforcement roles of probation and parole officers can be reconciled (Harris, Clear, & Baird, 1989; Clear & Latessa, 1993; Fulton, Stichman, & Travis, 1997). Curiously, both proponents and critics of the Boston initiative have not spoken directly to what is perhaps the central tenet of the model: the goal of creating integrated law enforcement and service delivery systems that transcend organizational turf and strive to create boundaryless organizations designed to not only prevent crime before it begins but also to reduce recidivism of current offenders (Taxman & Boufeld, 2000).

Operation Night Light appears to have been a reasonable first step at criminal justice system integration designed to detect and respond to disorder, delinquency, and crime. Yet careful review of the program's components reveals two shortcomings that are directly related to the system and role integration matters noted earlier. First, collaboration seemed more akin to an operational framework, rather than a means to the end of shared goals, resources and policies within organizations that are attempting to stretch or even obscure their boundaries. As a result, there seems to have been some sharing of resources, but mission, goals, objectives, measures of success/failure, and operational policies remained compartmentalized within each of the partner organizations. Second, implementation of evidence-based of-

fender rehabilitation strategies was of secondary concern, further reducing the value of the program or social service treatment component of the model.

Community Justice Includes Offender and Community Rehabilitation

While the professional debate regarding the efficacy of new partnerships and collaborative efforts between probation and parole, law enforcement, and the religious community continues (Rhine, 2001; Paparozzi, 2002), jurisdictions have continued to forge ahead in developing community justice models that are theoretically cogent, hold substantial promise for reducing recidivism of individual offenders, and positively affect aggregate community crime rates. It is precisely these kinds of initiatives that will provide the natural laboratory for much needed program evaluations and the creation of relevant public policy.

The new generation of community justice approaches to probation and parole call for continuing policies and practices designed to promote individual offender rehabilitation. The model also suggests that the mission of probation and parole should be to facilitate "community wellness" through amelioration of social and economic problems that affect the families, neighborhoods and communities where most probationers and parolees reside (Paparozzi, 2003). If successful, the ability to reform and maintain sustainable changes in lawbreakers will be significantly enhanced. Moreover, the crime and delinquency "feeder system" would be mitigated and inroads into the more effective and efficient domain of crime and delinquency prevention will have been made.

It is important to emphasize that this more expansive mission for probation and parole does not supplant their traditional roles as agents of public safety, but merely blends these more traditional roles with issues of offender risk management and rehabilitation as strategies for short and long-term public safety (Paparozzi, 2003). The clarion call is for the probation and parole professions to balance community supervision responsibilities with a return to community-based objectives, thereby:

- Providing services to offenders in their social context (i.e. family, neighborhood, and community).
- Offering services to individuals in need – even if they are not under the jurisdiction of the justice system.
- Working towards rebuilding stressed neighborhoods and communities by developing partnerships with, and marshalling resources from, non-traditional criminal justice system partners like public and private agencies involved with housing, public health, and economic development.

Integrating Service, Community Wellness, and Risk Management: An Example

The Greater Newark Safe Cities Initiative (GNSCI) is perhaps one of the most notable examples of a program that, wittingly or not, has made great strides in supporting and promoting the balanced approach to probation and parole. In the late 1990s, Rutgers University undertook a new initiative designed to reduce gun violence in targeted areas of Newark, New Jersey. The project, the brainchild of Professor George Kelling, was named the GNSCI; its primary mission was to develop a coordinated law enforcement, faith-based, social service, and civic-minded attack

on disorder and crime. GNSCI is best described as a balanced law enforcement/social service community justice model that respects and integrates the rich contributions of disciplines such as psychology, sociology, and public administration.

One of the unique aspects of GNSCI has been and continues to be its reliance on an interdisciplinary group of public and private criminal justice and social service organizations who act as decision-makers with regards to policy, practice, and program performance. The role that the interdisciplinary team plays in the GNSCI process and its specific relationship to probation and parole is of paramount importance. For too long, turf issues among academics and policymakers have prevented much needed technology transfer across disciplines that lay claim to having answers about problems associated with criminal and social justice. Past experience tells us that the effective practice of probation and parole requires an understanding both from the officers and administrators of these agencies as well as from the social service agencies, faith-based organizations, and the community, on how psychological, social, political, and organizational issues contribute to successful public safety efforts.

What is unique about the GNSCI is that partners are assured that all members have an equal voice in developing and implementing best practices for improving the quality of life and reducing violence in their own communities. Under the GNSCI umbrella, not only do social service agencies and faith-based organizations have a vote, they have a vote equal to prosecutors, judges, and other law enforcement agencies. In fact, GNSCI has allowed probation and parole agencies to move from their traditional "step-child" status within criminal justice, to positions of equal partnership.

Almost immediately after the GNSCI was established, partnerships were formed involving the local criminal court, probation authorities and a panoply of law enforcement, treatment, and social service providers with jurisdiction in the city of Newark, New Jersey.

In 2000, and unrelated to the GNSCI and its ongoing work in Newark, a new Chairman of the New Jersey State Parole Board was appointed. Also of note is the fact that the new Chairman had served for 14 years as a parole officer in Newark early in his career. Because of the Chairman's interests and background, parole's role within the GNSCI was virtually immediate and significant. The Chairman became a member of the GNSCI and encouraged the agency's Newark-based parole offices to become involved as well. Local parole staff was quick to respond, and discussions ensued both within GNSCI and the parole agency as to ways in which parole might become an integral and active partner in the initiative.

At first, the Chairman, several mid-level supervisors, and line staff initially attended weekly meetings of the GNSCI. From these weekly meetings emerged the notion that partners in the GNSCI should routinely meet to discuss and direct the case management of offenders on probation and parole who had been selected to participate in the initiative. As a result, a formal case management conference team, a sub-committee of the GNSCI, was established. While case management conference team participants were often subject to change, members generally included line staff parole officers, parole supervisors, clergy, and social service and treatment providers. The formation of case management conference teams provided the structural framework for empowering front line staff and local community members to actively participate in all facets of the parole supervision process.

Notification Sessions

In addition to the weekly GNSCI working group meetings and bi-weekly case management team meetings, parole was invited to participate in offender notification sessions. Notification sessions, initially implemented by probation, were held when there was a new group of offenders on probation and parole (at least ten to 15 in number) ready to be assigned to probation or parole caseloads that fell under the jurisdiction of the GNSCI. These notification sessions were specifically designed to notify offenders and the community about GNSCI and the requirements and responsibilities that offenders and communities would have to meet in order to participate in the initiative.

Prior to parole's involvement in the GNSCI, notification sessions consisted solely of new probationers attending a group meeting at one of two community churches. In most cases, the local criminal court assignment judge addressed the group. In addition to the assignment judge, state and federal prosecutors, local police, probation officers, ministers, and social service providers routinely made presentations. The message that each agency and organization delivered to eligible offenders was unified and clear. The steel hand of strict accountability and serious consequences for delinquent and criminal behavior, tempered by a velvet glove of intensive social service and treatment programs was available to program participants interested in making meaningful and positive changes in their lives.

After the notification sessions, there were no follow-up meetings with the assignment judge, who, as the probationers were told at the notification sessions, retained personal authority over the probationers assigned to the GNSCI project. The only time that probationers encountered the assignment judge again was if they were violated and were brought before the judge for a hearing.

After observing the role of the assignment judge and considering the relationship between the assignment judge and the GN-SCI probationers, the Chairman of the Parole Board concluded that a similar role could and should be carved out for offenders under parole supervision. Similar to the assignment judge, a parole board member makes decisions regarding conditional liber-

ty versus incarceration, establishes release contingencies, and has the authority to reincarcerate offenders who break the law and/or rules governing their liberty. Consequently, the Chairman of the Parole Board began to participate in notification sessions in much the same way as the assignment judge.

The Genesis of the Parole Accountability Conference Team (PACT) Meetings

Notification sessions were a critical and innovative component of the GNSCI initiative. However, the Chairman and others involved in the GNSCI felt that they could further improve the initiative by addressing two significant issues. The two areas of concern were: a) the need for ongoing and intensive follow-up in the case management of offenders assigned to the GNSCI parole caseload; and b) the need to intensively monitor the actions/behavior of parole officers and other GNSCI service partners in order to assure program integrity and appropriate service delivery.

Based on the well-researched practices that address effective ways to reduce offender recidivism (see Gendreau, Little, & Goggin, 1996; Andrews & Bonta, 2003), parole officials realized that unless there was rigorous and meaningful case-management follow-up involving fair and strict accountability with the parolees involved, that the benefits obtained from the notification sessions would likely be short-lived. As well, the firm, fair, and accountable follow-up required in a caring, consistent, and constructive environment that emphasized rewards or positive incentives at least as much as negative sanctions, would be necessary if reductions in offender recidivism were to be achieved (Gendreau, 1996; Andrews and Bonta, 2003). It was with these principles in mind that the PACT Teams were developed.

Rigorous follow-up after release on parole is not a new idea. Indeed, intensive supervision programs (ISPs) are commonplace and typically provide very close surveillance and only sometimes intensive treatment and social services, to parolees. The surveillance-oriented approach of ISPs has been the subject of numerous methodologically sound research studies all of which produced the same findings – ISPs do not reduce offender recidivism (Pe-

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tersilia & Turner, 1991; 1993.). Interestingly, the body of scholarly literature associated with the efficacy of ISPs indicates that the findings might have been different if, in addition to traditional surveillance concerns, ISPs also provided intensive services that targeted criminogenic needs to high-risk offenders (Petersilia, 1999). To date, there are no documented reports of ISPs that attempt to employ community justice principles.

Debates about what works and what does not in reducing offender recidivism routinely address the utility of surveillance versus treatment and social services in the context of probation and parole supervision. And, while we do not argue with the importance of this debate, especially in view of the consistent empirical evidence favoring the latter, there are no examples, with the possible exception of drug courts (Taxman, 2002), that we are aware of wherein there is intensive accountability between the offender and the actual source of authority on which a parolee or probationer's conditional liberty depends. The drug court program evaluation literature generally indicates that such programs produce positive effects with regard to individual offender recidivism (United States Department of Justice Office of Justice Programs, 1998). What is not known is whether even greater reductions in recidivism are possible through the intensive and ongoing involvement of an acknowledged "power source" of the justice system like a judge or a parole board chair.

Unlike judges assigned to drug court programs, where the primary if not exclusive, focus is on intensive involvement between the court and an offender, the PACT model was designed to intensively involve the paroling authority with the offender, families, significant others, and numerous law enforcement and social service partners for the specific purposes of:

- Managing the short-term risk of specific offenders;
- Changing offender behavior in the long-term;
- Holding offenders strictly accountable;
- Holding service providers and parole supervision staff accountable for providing appropriate services in a timely manner;
- Providing services to individuals in need even if they were not under the jurisdiction of probation or parole; and
- Rebuilding healthier families, neighborhoods, and communities.

Description and Organization of PACT Meetings

Within one month of a notification session, parolees attended their first PACT meeting. There were two PACT meetings each month. The PACT meetings were held in two churches, and sometimes at an inner-city drug treatment program. The line staff coordinated the monthly meetings, and they often arranged to bring other parole and probation officers as well as interested community members to participate. Meetings were open to all interested parties and members of the GNSCI and the community were encouraged to (and did) attend. As well, offenders assigned to the GNSCI parole caseloads were encouraged to bring family members and/or significant others to the meetings — many did.

PACT meetings were conducted in a literal and figurative round table discussion format. The parolees, service providers, parole officers, parole supervisors, and parole board chair all sat around a table and openly discussed a variety of issues. The meetings

began promptly, and it was extremely rare that anyone was late or experienced an unexplained absence. Members of the faith-based community routinely attended each PACT meeting. The faith-based participants, as well as others in attendance, were always asked to participate. While participation in pastoral counseling by parolees was voluntary, it is estimated that 10 percent of parolees engaged in faith-based services offered through GNSCI.

From the beginning, locations such as churches or drug treatment programs were considered to be ideal for facilitating PACT Meetings, and the clergy and local service providers were instrumental in making these early meetings a reality. First, a church or treatment center was hospitable compared to a parole office or other law enforcement or administrative location. Whether or not offenders actually attended the church in which the meeting was held, the role that the clergy played in making offenders feel welcome and unthreatened was critical to the early success of the PACT. Moreover, GNSCI team members and the Chairman believed that involving local community organizations such as drug treatment providers in PACT meetings would reinforce the commitment of the community to addressing crime as a community problem while assisting the offenders in a non-threatening manner.

In the early phases of the GNSCI, team members agreed that no parolee would be arrested at PACT Meetings. Churches and drug treatment centers were to provide an inviting and non-threatening atmosphere; a safe-haven where parolees and their families could come for help and guidance. Parolees soon determined that it was better to attend a PACT meeting, admit that he/she was not abiding by his/her parole obligations, and work with GNSCI partners to address these problems, than to ignore the officer and other providers, only jeopardizing his/her freedom.

Second, holding PACT meetings in local churches and drug treatment centers allowed parolees and their families to see for themselves the ongoing working relationship between the faith-based community, social service agencies, and law enforcement agencies, outside of the more strict and regimented surroundings of a parole office or other law enforcement atmosphere. Prior to and during the PACT meetings, GNSCI members engaged each other about GNSCI matters, specifically addressing the progress of individual parolees attending the meeting.

Parole officers assigned to the GNSCI had caseloads of 20–25 parolees. This caseload size was approximately 50 percent smaller than general parole supervision caseloads. The expectation for the GNSCI officers was that numerical standards for numbers of office and field contacts would be subservient to a well thought out case plan and assurances that over time the parolee, the parole officer, and service providers "worked" the plan intensively and thoroughly. Moreover, GNSCI parole officers were granted unprecedented discretion. Parole officers and their supervisors were empowered to adjust case planning, impose and discharge conditions of parole, and to be as creative as possible in their community-based risk management and offender behavioral reform strategies as the situation warranted. Furthermore, parole officers and supervisors involved in the GNSCI had an open and immediate line of communication to the Chairman for the purpose of case consultation, and they knew that at least monthly the officers and the parolee would have the opportunity — the obligation — to account for actions taken, or not taken, since the last PACT meeting.

There was one memorable occasion that characterized the benefits of open communication between the officers and the Chairman. In one instance, a distressed GNSCI offender attended

a PACT Meeting, informing the group that she had recently married and moved in with her spouse, a gentleman also on parole. This move resulted in the female parolee leaving her parole district. And, since she was residing in another parole district, parole regulations dictated that another officer would have to supervise her. The parole district supervisors from the two district offices in question, both in attendance at the meeting, agreed that it made sense for an officer from the district in which the offenders resided to supervise the couple; unfortunately, this other officer did not supervise a GNSCI caseload. The GNSCI officer even volunteered to supervise the couple, even though they lived outside the parameters of this officer's responsibility. Still, supervisors from both districts were hesitant to grant such an unusual request. The female offender begged the Chairman to "do something." She was very fond of her parole officer and the services provided by GNSCI. After hearing the story the Chairman informed the offender that her request was a reasonable one, she and her husband would not only share the same parole officer, her GNSCI officer would be the officer of record.

Supporting Line Staff through PACTs

Parole and probation officers typically opine that paroling authorities and the courts do not support their recommendations for violation of parole or probation, and even when they are supported, the wheels of justice turn too slowly to serve as a meaningful vehicle for managing short-term risk and reforming offender behavior in the long-term. At the same time, parolees and probationers have learned over the years that it is the paroling authority and the judge, and not the parole or probation officer, who holds the key to their chances of liberty or incarceration. The transference of authority from parole and probation administration to parole and probation line officers has been weak at best.

Three reasons why line staff supported PACTs include a) the belief that line staff decision making was supported by the administration; b) line staff parole officers were able to share responsibility with higher authorities (the parole board) in the event that a parolee committed a crime; and c) line staff felt empowered to make case management decisions in the context of the PACTs without seeking prior approval from the parole board.

The involvement of the Chairman of the Parole Board in the PACT sessions was welcomed by line staff who felt that they would have the ability to gain support for modifications of conditions of parole, violations, and generally encouraging otherwise uncooperative parolees to comply with appropriate case management plans. Line staff involved in PACT meetings were, for the first time able to have frequent personal contact with the paroling authority and to circumvent onerous and time consuming bureaucratic procedures for case review and decision making regarding case management issues.

Shared Responsibility for Failures

A second, and more subtle, organizational dynamic that fostered line staff support for the PACTs pertained to the exposure to criticism that line staff typically feels when they are second guessed for case management decisions—especially when offenders under their supervision fail. A latent benefit that parole officers who participated in PACTs experienced was that the supervising parole officer would not bear the full weight of criticism for case management decisions in the event that a parolee com-

mitted another crime. This last point is particularly important because the gestalt of parole organizations that have been "burned" by the case gone bad is to avoid rewarding parolees for good behavior via status advancement (e.g. less frequent reporting and intensity of supervision), or discharge from parole. Likely, parole officers were sensitive to this issue because of their belief that the Parole Board would not support officers' decisions and, perhaps more importantly, they would suffer poor performance ratings and/or discipline if a "rewarded" parolee happened to commit a crime at a later date.

The paroling authority retained ultimate responsibility for all parolees who attended PACT meetings and who took part in the GNSCI. We believe that one of the reasons why participating line officers and supervisors embraced GNSCI so readily is because this fact was clear to the supervisors and line staff, and seemed to provide a sense of security with regard to case management decision-making. The result of this dynamic was immediate. There were fewer calls for violations, and a significant increase in providing short-term risk management in community settings — all the time striving to reform offender behavior in the long-term.

Empowering Staff to Make Case Management Decisions

As previously stated, PACTs consisted of social service providers, faith-based representatives, the parole officer, and supervisors from the local district parole office. Each of these individuals was also a member of the case management sub-committee of the GNSCI (discussed earlier). The Chairman of the Parole Board served ex-officio, but did not usurp decision-making authority from the case management team.

In between monthly PACT meetings, ongoing case conferencing took place at the weekly case management sub-committee meetings. Offender supervision problems identified at PACT meetings were discussed at these weekly meetings and the sub-committee was authorized to make case management decisions regarding parolees assigned to the GNSCI. In this regard, the only guidelines the committee had to consider in the decision-making process was that any decision they made had to conform to existing statutory and administrative law. The empowering of the case management subcommittee, coupled with the accountability provided for in the context of the PACTS, inspired the group and conveyed to the parolee that the source of authority concerned about their liberty was a group of individuals representing a variety of state and local agencies and service/treatment, and faith-based organizations that were operating in a cohesive manner.

Parolee supervision through a combination of team-based decisions and monthly accountability teams is generally contrary to the longstanding practices of parole supervision that are heavily grounded in rigid hierarchical decision-making.

Supporting Parolees through PACTs

PACTs were clearly popular among the parolees who participated. Approximately 33 percent of the parolees attending PACT meetings were discharged from being required to attend due to positive progress on parole, but these offenders chose to attend anyway. As well, it was not uncommon for parolees from other jurisdictions to voluntarily attend meetings, and to bring family members and significant others with them.

Parolees supported PACTs for three reasons. The process provided the ability to: a) air frustrations as well as positive com-

mentary about the conditions under which they were released and are being supervised; b) provide feedback to an authority figure about the quality of services received from treatment and social service providers; and c) gain a sense of self-worth.

Airing Frustrations about Parole Release and Supervision

Parolees assigned to the GNSCI welcomed the opportunity to have ongoing contact with the parole board because it gave them the ability to air their frustrations about the parole release process and their current case supervision. Uncharacterized of the manner in which parole boards are administered, parolees were afforded the opportunity to ex post facto provide feedback to the Chairman of the Parole Board about their parole hearings.

Parolees often used this opportunity to discuss the manner in which perceived superfluous conditions of their release were established, the quality of parole release hearings, the quality of prison-based treatment and transitional programs, and the appropriateness of the community supervision to which they are subjected to once granted parole.

As well, parolees felt that through the PACT process, their positive adjustment to parole supervision would be apparent and that they would be rewarded promptly for their good behavior. Without PACTs, offenders believed that parole officers and their local supervisors would not be as likely to lessen parole restrictions as a reward for prosocial behavior. But, as a result of the direct involvement of the Parole Board Chairman, parolees seemed to feel, and in our opinion justifiably so, that front line staff would be more inclined to lessen restrictions if the decision-making process was shared with a higher authority.

Providing Feedback on Quality of Treatment Services

The quality of services provided to parolees and probationers is extremely variable. The typical parole and probation supervision process involves referrals of parolees for counseling, jobs, housing, and the like. Since these social services are in short supply, especially when indigent clients are being referred, one must "take what one can get" so to speak — there is virtually no ability to shop for a service provider. As well, it is fairly common for supervising officers to focus on whether or not a referred offender kept appointments as opposed to whether or not they participated or whether or not a viable service was actually delivered. The PACT process decreased the invisibility of the quality of services being provided by treatment and social service providers who were partners in the GNSCI. The monthly GNSCI and PACT meetings provided a quality assurance check on the quantity and quality of services being delivered to parolees.

It was fairly common at PACT meetings to have parolees speak candidly about the fact that certain service providers were "... not for real" and that others were. Of particular interest was that as offenders recounted dealings with service providers, the experiences of individual parolees were affirmed. It was rare that the feedback provided by the parolees differed from the impressions of the parole officers and their supervisors. What was rare was the open and honest acknowledgement of the fact that not all service providers performed equally. This fact, while well known to parole officers, was rarely discussed outside of off-the-record informal conversations. The existence of the PACTs provided an accountability mechanism for reacting to weak service delivery systems. Moreover, the PACT process enabled a redirecting of

referrals to the better providers, thus causing the poorer performers to raise their standards of performance.

Fostering a Sense of Self-worth

Parolees frequently stated that they felt special, even honored, to be part of a program that was clearly committed to bringing about positive changes via the involvement of high profile government officials who heretofore were seen at best as not caring, or at worse, an enemy. One parolee summed this sentiment up best when one evening he stated: "... what I like best about these meetings is that I feel like your (the Chairman's) colleague. The goal is for me and you (the Chairman) to be able to sit together at the same restaurant table." Moreover, the Chairman did not arrive at PACT meetings wearing business attire, and assume the posture of interrogator of parolees, although it was well-known to all that if interrogation was necessary it would be incisive. The Chairman greeted parolees by their first name, asking them questions about their lives as mutual friends do when they engage in conversation.

The anecdotal commentary of parolees attending PACT sessions is illuminating with regard to the profound impact that the sessions had on parolees. It was abundantly clear to all involved — including the Chairman of the Parole Board who conducted the meetings — that nothing like this had been tried before. The sincerity of the interactions was obvious, and parolees frequently expressed how much they appreciated the fact that so many people were giving of their own time to better the lives of "... folks who are at the bottom of society's heap" (comment from a parolee attending PACT sessions). The fact that the Chairman of the Parole Board along with numerous other "important" and "respected" individuals devoted quality time, (during and after normal business hours, on the parolee's own turf) was likely the most significant affirmation of the importance of all involved in the GNSCI — including those who were on parole.

Another feature of the PACT sessions that served to affirm their worth to program participants and the local communities was the willingness of GNSCI partners to assist individuals with problems even though they themselves were not under parole of probation supervision. The parolees attending PACT sessions took this offer seriously and they often brought family members, friends, and significant others to PACT sessions to procure assistance of one sort or another. One evening, for example, a parolee brought his father who needed assistance in obtaining a city job that he had applied for. After the PACT meeting, the parolee's father had an opportunity to approach the Chairman of the Parole Board with his problem. The Chairman followed up with a phone call and a letter to city hall. Whether or not this individual ultimately obtained the job is not known, nor is it particularly important. What was/is important is the fact that the parolee and a family member acknowledged the caring and proactive intervention of someone in a position of authority who helped or tried to, even though he did not have to do so. In the final analysis, the person on parole and his father felt that they were worth something to somebody!

Conclusion

The success of the PACT process requires an overarching commitment of resources and flexible policy development that can only derive from committed organizational leadership. Moreover,

once initiated, matters of organizational culture, management information systems, and routinization of the leadership qualities that brought about the program must be attended to if the program is to be sustained over time.

A review of arrest statistics suggests that GNSCI parolees experienced lower recidivism rates than a comparable group of traditionally supervised parolees. A methodologically sound program evaluation would shed light on the public safety and community justice value of the GNSCI initiative. Even in the absence of such an evaluation, we think that this community corrections model should be implemented because it represents an amalgam of practices that are supported by research evidence.

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OFFENDER WORKFORCE DEVELOPMENT HISTORY IN IOWA

by

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During the 1970s, employment programming for community-based corrections was pretty scarce. Typically offenders were handed a newspaper and told to find a job. Very little assistance or direction was provided due to lack of knowledge, different priorities, and limited resources. Employment outcomes were not officially collected, but anecdotal reports indicated a positive relationship between successful employment and successful supervision. Therefore, in the 1980s job developers were hired to assist offenders with employment issues. They were to conduct employment assessments, career exploration and make referrals. The concept was outstanding, however in practice the job developers were only a point of contact for the employer.

The 1990s brought much change to community-based corrections. The "What Works" literature was having a big impact on the treatment and supervision of offenders. The impact of employment was becoming understood. Offender employment could no longer be put to the wayside. Legislation addressing offender employment issues was developed and passed. Thus, new government offices were created.

The Office of Correctional Job Training and Placement (OCJTP) was established in 1994. The primary function of this office is to provide competency based training to individuals who work with ex-offenders on employment issues. They designed and implemented a basic training program called the Offender Employment Specialist. It was not long before best practices on offender employment were developed. Iowa joined the movement by participating in the national training efforts and developing specific employment programs for offenders that reflected best practices.

As best practices continued to evolve, so did the training programs. One such program was the Offender Workforce Development Specialist (OWDS) training program. The OCJTP designed this comprehensive curriculum to teach the knowledge, skills and abilities, necessary to provide employment services to adult offenders and ex-offenders. This program is endorsed by the National Career Development Association and meets the course requirements for certification as a Global Career Development Facilitator through the Center for Credentialing and Education, Inc. The OWDS training program is a minimum of 160 hours consisting of classroom and practicum experiences. It is designed for six-person teams to complete three non-consecutive weeks of classroom instruction with about 30 days in between each instructional week to complete the practicum experience. Each team submits an application consisting of team composition and a plan to train services providers in their local jurisdiction.

In 2001, an Iowa OWDS team was selected to participate in the OWDS training program. This team consisted of employees from the 6th Judicial District Department of Correctional Services and the 5th Judicial District Department of Correctional Services in Iowa. While at training, the team finalized an action plan to train service providers using the complete OWDS curriculum. The goal

was to train individuals as Offender Workforce Development Specialists. In the fall of 2002, the Iowa OWDS team conducted a two-week training in which 13 participants successfully completed the OWDS requirements. These participants represented employees from community-based corrections, prisons, Workforce Investment Act and Kirkwood Community College. As a result of this training, new partnerships were established, existing partnerships were strengthened, competence was enhanced, Global Career Development Facilitator course requirements were completed, employment services were improved and the OWDS initiative took hold.

In 2004, the Iowa OWDS initiative expanded through the acceptance of a second Iowa OWDS team in the OCJTP's OWDS training program. Unlike the first team which was comprised solely of community-based corrections employees, the second team had representatives from six different agencies that provide services to adult offenders and ex-offenders. The second Iowa team represented the following agencies: Iowa Department of Corrections (prisons); 6th Judicial District Department of Correctional Services (community-based corrections); Workforce Investment Act; Iowa Workforce Development; Iowa Division of Vocational Rehabilitation Service; and Des Moines Area Community College.

The training plan of the second team was to replicate the OCJTP training at a statewide level and solicit nine, six-member teams from regional areas in Iowa. The regional areas are based upon judicial district boundaries. The six member teams will consist of a combination of employees from Iowa Department of Corrections (prisons); Department of Correctional Services (community-based corrections); Workforce Investment Act; Iowa Workforce Development; Iowa Division of Vocational Rehabilitation Service; and other community agencies that provide employment services to offenders. While at training, teams will develop an action plan related to how they will positively impact offender employment issues in their region of the state.

In order to successfully implement the training plan, the two Iowa OWDS teams joined forces after the second team successfully completed OWDS training. The joining of the two teams created one team of eight trainers (the first team lost members due to changing job responsibilities). Seven members of the combined OWDS team and two participants from the first Iowa OWDS training completed OWDS instructor training. Five of these members met the requirements to be a Certified OWDS instructor and have they ability to certify training participants as OWDS. The others are able to instruct the curriculum, but they do not have the ability to certify training participants.

In an effort to recruit training participants, the Iowa OWDS team marketed this training program to District Directors who oversee community-based corrections, Wardens and Prison Supervisors, Iowa Prison Industries, Iowa Board of Corrections, and Workforce Investment Act and Iowa Workforce Development

Supervisors. The marketing consisted of creating promotional flyers and conducting a 45 minute presentation to each group. The presentation consisted of highlighting the need for providing employment services to offenders and ex-offenders, outlining the OWDS training program, describing training effort in Iowa, illustrating the impact of the training, and clarifying what is needed from the agencies. The overall response to the marketing effort has been outstanding. There are additional negotiations to market this training opportunity to the Iowa Parole Board, Division of Vocational Rehabilitation and targeted community agencies.

The offender workforce development initiative in Iowa has been built upon a strong foundation. Although the state has had tough financial times, the support for this training is unwavering and the commitment to address offender employment issues is steadfast. The Iowa Department of Corrections, 6th Judicial District Department of Correctional Services, Iowa Workforce Development, Workforce Investment Act, Division of Vocational Rehabilitation, Des Moines Area Community College are keeping the future in mind and they are dedicated to successful re-entry of offenders.

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UTILIZING TECHNOLOGY INNOVATIONS TO ACHIEVE QUALITY CASE MANAGEMENT

by

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In recent years corrections professionals have been, to their good fortune, the recipients of a tremendous amount of research, assessment tools and application strategies relative to case management of offenders. This research is generally being referred to as the "What Works" literature. In addition, corrections has been looking to other professions for material to integrate into case management as well. The challenge has been to assimilate all of these ideas, concepts and interventions into an integrated approach to offender case management. This article will not address the concepts in detail; much has been written about that already; this article will focus on bringing that material to application in correctional case management.

Commitment and Organizational Change

The initial steps are for corrections agencies first to embrace these new ideas, gather staff buy-in, train staff, and implement the new approaches. The agency must then ensure staff can take the new approaches from training to application. The methods by which agencies approach this task is varied I'm sure, but technology has helped at least two jurisdictions accomplish this task.

In the 6th Judicial District of Iowa, located in Southeast Iowa, the challenge has been met by developing the "Matrix." Our agency had become familiar with the "What Works" material through trainings and use of the LSI-R, but the amount of information was overwhelming to staff. The Matrix is an automated tool that synthesizes data from various actuarial risk assessment tools as well as profiles from assessments such as the CMC (Lerner, et al.) or Jesness (1991). The Matrix will generate a placement of a risk (control) axis and a need (treatment) axis; each specific placement has different strategies, resources and sanctions as determined by the risk and need of the offender.

More about the Matrix later, but I mention it here to illustrate an important point; effective case management begins when all staff, top to bottom, feel connected to the mission, vision and guiding principles of the agency and feel they're an important part of the agency. In developing the Matrix, a diagonal slice of the agency was assembled to give input into the process. Administrators were members of the team; their contributions were, among other things, to give support and guidance but more importantly, stay out of the way and let it happen. When we completed the Matrix there was little staff opposition as they were an integral part of its development.

The training of staff cannot be understated; that is crucial to successful case management. The staff must have a fundamental knowledge of the principles of effective correctional intervention in order to apply them to case management practices. Once the initial training is accomplished, the implementation of case management can begin.

Quality Assessment(s) of the Offender

The Principles of Effective Correctional Intervention (Lerner, et al.) indicates the most effective use of resources is to target your highest risk offenders. Agencies should utilize prescreen assessments to eliminate and divert lower-risk offenders. In Iowa, the Iowa Risk Classification Assessment, modeled after the Wisconsin Risk Assessment (Baird, et al.) performs this crucial first step in the assessment process. Maryland's MOCSE (Maryland Offender Case Planning Software for Empowerment) system (Maryland Department of Public Safety and Correctional Services) also uses a prescreen for this purpose. Case management efforts need to be directed to the highest risk offenders; lower risk offenders are best managed by low risk case managers and banked caseloads.

Good case management is an integrated system that starts at the assessment interview. The assessment interview is critical in setting the tone for the offender's investment in the case management process. The assessment interview requires staff to change their mind set when conducting the interview; many staff are comfortable with the interrogation interview, however, to discover the offender's "reality" and life situation, staff must use motivational interviewing techniques and suspend judgment while gaining insight into how the offender thinks and acts. It is also important to remember your case management plan while interviewing an offender so as to make sure to cover all the areas that are critical to completing your case management plan.

For instance, to make sure you understand the offender's pattern of behavior, it's important to know what led up to the offense(s) not just the date of the charge and disposition when reviewing their criminal history. If you're going to change behavior you must have a clear understanding of when the problem behavior is most likely to occur and when the offender is most vulnerable. You may have two offenders committing the same crime but for very different reasons, exploring the motivation or need being met by the behavior is a very important aspect of the case management interview. In many ways this is analogous to the ABC's (Antecedents, Behavior, and Consequences) of relapse prevention strategies.

In addition to the actuarial risk assessments, it is important to utilize assessments that reveal personality traits like the Client Management Classification (CMC) or Jesness Inventory. To design an effective case management strategy, as the Responsivity Principle (Andrews and Bonta) illustrates, you must know the personality type of the offender to match the appropriate resources with that offender. In addition to personality types, assessing the offender's Stage of Change (Prochaska, et al.) will assist in developing an intervention strategy.

Developing the Case Management Plan

Once the assessments have been completed the case management plan can be developed. Staff need to reflect back to the assessments and utilize the offender's descriptions of their circumstances and behaviors in order to design a plan that addresses the factors contributing to the problematic behavior. It is important that the case management plan stress the application of new techniques and skills learned in the appropriate resources. To have the offender attend, even participate in the cognitive programming is one thing; but having the offender apply what they've learned in programming to real life situations, should be the goal when looking to long term behavior change.

The format of the supervision plan can be many and varied as long as the plan, if viewed by both agent and offender, is a mutually agreed upon document. "The single most important difference between successful and unsuccessful plans is whether or not they are written down by the actor"— Brian Tracy.

Utilizing Technology in Case Management

The 6th Judicial District of Iowa has developed the "Matrix" to assist staff in putting all the results of the various assessments together and utilizing the results to formulate a case management process. The Matrix will accept input from various risk assessments, including the LSI and specialized assessments like the Jesness.

Additional specialized assessments including substance abuse evaluations are also factored into the Matrix placement. Offenders are plotted on a risk axis and need axis based on the results of the assessment materials entered into the Matrix. The scores are weighted and averaged against one another; in other words if the assessment indicates a high score, the score is given more weight and so on. Each entry item will affect one axis or both depending on the item. Once plotted on the Matrix, the user has a menu of options to choose from for developing a case management plan. The Matrix will provide a profile of the offender, including the Jesness I Level and sub-type, supervision strategies, interventions (programming) and sanctions.

A similar tool MOCSE (Maryland Offender Case Planning Software for Empowerment) has been developed by the State of Maryland in the Proactive Community Supervision Program. This system utilizes many of the same assessment tools and incorporates the Principles of Effective Correctional Supervision as well. The system will produce a supervision plan and does an excellent job of providing feedback to the staff and offender on change stage.

Both systems do a wonderful job of "synthesizing" all of the assessment information and graphically display the results in an organized and meaningful way. The tools allow the staff to take the information and design a case management plan utilizing the risk, needs and responsivity principles in a consistent strategic manner. Technology tools like the Matrix and MOCSE function as quality control mechanisms in that they guide users in matching resources and programming consistent with the principles of effective correctional intervention. Both function as training tools for new staff as well.

Measuring Outcomes

Periodic reassessments of offenders are one indicator of the impact of the interventions. If the interventions are in keeping

with the Responsivity Principle, success rates should be high. Marland's MOCSE program provides administrators and front-line users with ongoing progress reports on court ordered requirements. Iowa's Matrix system works similarly with the state's database system to track success rates of interventions.

Quality Control

Another crucial aspect of implementing effective correctional interventions is clinical review. In Iowa's 6th District, agent and supervisor staff each case while preparing reports for the court or completing the case management plan. The Matrix provides for common ground and gets all parties looking at the same information. The automated systems assist in training and reviews as well.

Both Maryland and Iowa utilize case audit reviews to maintain quality control as well.

Ongoing training, certifications and use of the Correctional Program Assessment Inventory (CPAI) are other forms of quality control utilized in Iowa (Gendreau and Andrews).

Conclusion

Managing offenders from the initial assessment to positive completion of correctional programming must incorporate the principles of effective correctional intervention. Agencies can assist their staff by developing software and computer programs that integrate these principles, organize, support and track outcomes for ongoing program development.

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SEX OFFENDER SUPERVISION STRATEGIES

compiled by

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Evidence suggests that attempts at "treating" sex offenders have proved to be relatively ineffective. As a result, probation and parole agencies, in an effort to promote public safety, have devoted their limited resources to "managing" this high-risk population. In addition to employing intensive supervision, team supervision, GPS and traditional electronic monitoring, house arrests, curfews, periodic polygraph examinations, and strategic partnerships with law enforcement and social services agencies, many community corrections agencies have initiated special supervision strategies during times that pose a greater potential for criminal behavior by sex offenders.

This past October countless probation and parole agencies throughout the country made plans to intensify supervision efforts in an effort to protect children from sex offenders on Halloween night. Several examples of these efforts are provided herein.

California

A 13-officer detail from the San Diego County Probation Department, San Diego Police Department, and the California Department of Justice visited 13 sex offenders countywide from 4:00 to 8:00 PM on Halloween. All 13 were prohibited, as a condition of probation, from associating with children, participating in trick-or-treating, or decorating homes in a Halloween theme to attract children. They were selected from among 4,400 registered sex offenders in the county (Hughes, 2004).

Two registered sex offenders were arrested and an arrest warrant was issued for a third. A man was taken into custody when officers knocked on his door and saw a candy bowl in plain view, and a woman was arrested for using the Internet to attract children. A warrant was issued for an offender when it was determined he had moved from his residence without informing authorities, in violation of the sex offender registration requirements (Hughes, 2004).

Indiana

There were neither tricks nor treats for sex offenders in Indianapolis, Indiana, this past Halloween. The Marion Superior Court Probation Department, working in concert with the Indianapolis Police Department, required sex offenders under active probation supervision to attend a meeting during the trick or treat hours established in Indianapolis (Kerl, 2004).

The meeting consisted of information sharing by probation department staff concerning the "do's and don'ts" of conditions to which the majority are ordered to follow. In addition, representatives from the Marion County Prosecutor's Office were present to discuss the consequences of failing to comply with the conditions of probation.

Of the more than 150 offenders required to attend this meeting, only three failed to appear as directed. For those who failed to report or who were excused for medical or work related reasons, teams of probation officers made home and field visits to confirm their whereabouts.

Three offenders reported to the meeting in vehicles where minors were present. They were subsequently arrested for violating their "no contact with minors" orders.

Christine Kerl, a Supervisor with the Marion Superior Court Probation Department, organized the event with the assistance of representatives of the Indianapolis Police Department, who provided the meeting site. "Due to the overwhelming success of the event, this will likely become an annual endeavor to provide the community with protection while at the same time providing offenders with information related to expectations while under community supervision," Kerl said.

Texas

According to an article that appeared in the *Houston Chronicle* (Hewitt, 2004), registered sex offenders living in Houston's East End might have heard a knock at the door on Halloween night, but it was not from trick-or-treaters.

Deputies from the Harris County Precinct 6 Constable's Office teamed up with probation officers with the Harris County Community Supervision and Corrections Department to monitor the homes of registered sex offenders on Halloween night. Deputies and probation officers drove past the homes of sex offenders on probation to make certain there were no decorations in their yards or any other items that could have enticed children onto their property.

These probationers were under the closest scrutiny, but sex offenders who had been paroled or discharged from supervision were also warned to keep their gates locked and their porch lights off.

The Constable's Office has patrolled the homes of sex offenders on previous Halloween nights, but this year an increased number of deputies were on patrol to lookout for suspicious behavior. According to Precinct 6 Constable Victor Trevino, there are approximately 300 sex offenders living in Precinct 6, which includes Houston's East End, near Northside, and Fifth Ward areas, and about 100 of the offenders are on active probation supervision (Hewitt, 2004).

According to Donna Battenfield, Supervisor of the Harris County Community Supervision and Corrections Department's Sex Offender Unit, the partnership between the Probation Department and the Constable's Office proved extremely successful, as representations from six television stations, several radio stations, the *Houston Chronicle*, and two Hispanic newspapers showed up to participate in and film the patrols in action (Bat-

tenfield 2004).

In San Angelo, Texas, the Concho Valley Community Supervision and Corrections Department instituted Project BATS (Better Assurance Through Supervision) to ensure that sex offenders under adult probation were not welcoming trick-or-treaters to their homes on Halloween night. Under the direction of Rachel Cyphers, Supervisor of the Probation Department's Sex Offender Unit, approximately 60 sex offenders with child restrictions were required to report to a specified location, commencing at 6:00 PM, and remaining there until 9:30 PM on October 31, 2004 (Brambila, 2004). While there, the offenders heard speakers from representatives of different agencies, including the San Angelo Police Department, the Probation Department, Child Protective Services, and a counselor working with abused children (Cyphers, 2004).

The Taylor County Community Supervision and Corrections Department in Abilene, Texas, targeted 60 sex offenders who were identified as the greatest risk to the public on the weekend of Halloween, although the "lights out" policy covered all 78-sex offenders on direct supervision. On both Saturday and Sunday nights from dusk until 10:00 PM, the offenders' homes were monitored by probation officers to ensure compliance with the policy of no decorations or outside lights on to entice children. In addition, when children were in the neighborhood, probation officers made certain that the targeted sex offenders did not do anything prohibited. Violations identified were dealt with immediately (Deike, 2004).

"We feel this effort was a great success," said Sue Deike the probation department's Deputy Director. "The community feedback was positive and the sex offender program was strengthened through enhanced supervision." Deike noted that officers volunteered to participate in this initiative.

Virginia

On Halloween Probation Offices in the Commonwealth of Virginia kept sex offenders in their homes with their porch lights off or had them report to a government office until children in costumes were off the streets. This was part of a program known as "Trick-nor-Treat" which commenced three years ago. "We are trying to ensure no new victims during a high-risk time when youth are in the community trick-or-treating," said Larry Taylor, a spokesman for the Virginia Department of Corrections. "We are trying our best to keep the public safe" (Markon, 2004).

Probation Offices in Norfolk, Portsmouth, Gloucester, and Newport News executed Operation Porch Light Out, where sex offenders were instructed to remain in their homes with their porch lights out during the trick-or-treat hours when children were out. Teams of probation officers, working with local law enforcement officers, made home contacts to ensure compliance. In some cases, breathalyzer and urine screens were conducted.

The Probation Office in Petersburg instructed identified sex offenders to report to the Petersburg General District Courtroom at 5:00 PM, where they participated in an education program that lasted until 9:00 PM.

Identified sex offenders in Virginia Beach were required to report to the Judicial Complex between 4:30 and 5:00 PM for a program coordinated by the Probation Office in partnership with the Virginia Beach Sheriff's Department and local treatment providers. State police were on site to address sex offender registration issues and to execute outstanding warrants and a consultant provided training on anger management. Some identified offenders

were asked to submit to breathalyzer testing and urinalysis. This program concluded at 8:30 PM (Hall, 2004).

Washington

While not specifically designed for Halloween, the State of Washington Department of Corrections has created a bike patrol in Spokane to supervise sex offenders.

According to Cindy Greenslitt, the Department of Corrections is "taking it to the streets" with community corrections officers riding bicycles in downtown Spokane to enhance their ability to supervise offenders. Two officers work out of the COPS Downtown Office in Spokane, where they started this new approach to monitoring offenders' activities in July of last year.

At least once a week these officers head out on their bicycles to supervise caseloads that include both high-risk transients and sex offenders. The bicycles allow the officers better access to parks, alleys, and other remote areas that attract the offender population. In addition to home visits, the officers make contacts on the streets. They look for sex offenders who may be frequenting parks where children play. In addition, they make contact with transient offenders to make certain they are in compliance with the conditions of probation and not causing problems in the downtown area.

The community corrections officers work closely with the Spokane Police Department; police officers assist with arrests and transport offenders in custody.

While the officers have a good memory for names and faces of offenders, they are also assisted by their Palm Pilots, which contain offender information and pictures.

The bike patrol monitoring program was suspended at the end of October due to the change in seasons; it will begin again in April, weather permitting (Greenslitt, 2004).

Conclusion

A cursory check of the Internet reveals that similar supervision and intervention programs have been instituted in most states.

We are grateful to department personnel who responded to the request for information about innovative supervision strategies employed for sex offenders. Too, it is gratifying to note the increased emphasis on public safety by probation and parole agencies.

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AUTUMN REFLECTIONS: THE STATE OF PROBATION THROUGH INTERNATIONAL EYES

by

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This fall I had the privilege to attend and participate in three international conferences. This report summarizes the main topics of discussion at these conferences that I feel have relevancy for probation executives. There is a growing interest in the field of probation and in community correctional practices outside of North America. In fact, there is much that we can learn from our colleagues from other countries and jurisdictions.

What is the "state of probation" today? Is it in crisis? Is probation in danger of being eclipsed by other forms of punishments/penalties? Or is it evolving or emerging to reflect changes in the current criminal justice environment? An answer to the above questions is difficult, it depends what jurisdiction you are in and what the current climate regarding criminal punishment is. What can be said is that probation as an entity is under pressure to change, but a change to what is the question begging an answer. Wherever I go it seems that the need for change in the delivery of probation services is foremost in the minds of proponents and opponents of probation.

Although I did not set out this fall to seek answers to these questions I found that by attending three international conferences the issue of changes in probation kept coming up both in presentations and in conversations with probation leaders from other countries. What follows is a report on what transpired at these conferences that I think would be of interest to NAPE members and that might add to the "change discussions" ongoing in probation circles here at home.

Conference Permanente Europeene de la Probation (CEP)

The first conference I attended was the Conférence Permanente Européenne de la Probation (CEP) held in beautiful Lugano, Switzerland September 22-26, 2004. CEP holds its General Assembly and Congress every three years and this assembly was chaired by the outgoing President, João Figueiredo of Portugal. Mr. John Scott of England assumed the chair as the new President of CEP at the end of the General Assembly. He will serve for the next three years. At this year's assembly the membership approved the affiliation agreements of three associations: the International Corrections and Prison Association, the American Probation and Parole Association and the Probation and Community Corrections Officer's Association of Australia.

"Criminality and Insecurity: Probation Facing Mass Media and Politics" was the theme of the Congress and featured a number of international speakers including politicians, journalists, and probation leaders.

The delegates realized that probation must respond to the pressure the community is expressing regarding "security" and their heightened sense of "fear." People are feeling unsafe in their homes and workplaces and on their city streets. This sense of insecurity puts pressure on politicians for immediate solutions. As a result, the politicians tend to surrender to this pressure, especially if they wish to survive politically. Presenters and delegates seemed to be in agreement that the current climate tended to lead, in the short-term, to repressive measures such as an increased reliance on imprisonment. The question facing policy makers, it was felt, is: how to respond to long-term solutions in response to crime when in the political arena short-term solutions are more politically acceptable even though the measures are repressive rather than effective. It was generally agreed that prisons can't be the only solution to the security problem, but it was also acknowledged that alternative solutions would only be possible if you ignored emotions in the media's responses to crime. Therefore, the key question seeking an answer was: how to avoid emotional conditioning of the polity and the public that leads to repressive measures?

The majority of the presentations attempted to deal with the issue of the media's representation of crime and the resulting political response. Two examples are the presentations by Christine Knott, National Offender Manager for England and Wales, and Susanna Reinboth, a Finnish journalist. Knott discussed managing risk and fear in the community. She acknowledged that crime is a political issue. Evidence indicated, she said, that the public experience differs from the picture that is reported in the English press. There is, she went on to note, a drop in the crime rate in England and Wales that is not acknowledged in the media representations of crime. Therefore, she argued the fear of crime is not rooted in reality. (However, the perception of high crime, based on reportage, does have an impact on the public's behavior.) In order to deal with the public's concern probation in England and Wales have initiated a number of practices that are geared to bolstering public safety and aimed at restoring public confidence in probation. These practices include police/proba-

tion partnerships, improved risk assessment methodologies, specialized programs for prolific offenders, and a faster response to failure to comply offenders.

Susanna Reinboth, in her presentation, asked whether the media was the creator of public opinion or merely a mirror reflecting the public's opinion. In Finland she said, there is no demand for harsher penalties, partly because politicians don't see crime as a problem, there is no major street crime in Finnish cities and crime has not been a subject of interest during general elections. However, in her presentation, she demonstrated how the Finnish media differs significantly from the media in other countries on the matter of crime reporting. The question, of course, is why. The Finnish experience is instructive in that it points to the relationship between public culture, media representation and political response and how these impact societal and political actions on crime.

Generally, the Congress reflected on the following issues that need to be addressed by probation:

- The inflation in prison populations in most European countries.
- Developing a balanced relationship between prison and probation as a response to the crime problem.
- Probation's role and responsibility in a security conscious world.
- The effectiveness and efficiency of probation efforts in providing community safety services.
- The need for increased research on probation services.

Certainly, a major agenda item for CEP in the next three years ought to be the revitalization of probation as a viable and visible community-based approach to public safety.

International Corrections and Prison Association (ICPA)

The second conference I attended this past autumn was the Sixth Annual International Corrections and Prison Association (ICPA) meetings held in Beijing, China October 24-29, 2004. The theme of this year's conference explored how the different jurisdictions might help one another to improve their correctional services. Examination of what works, where and how was the focus of the plenary sessions and workshops. An attempt was made to discuss the characteristics of a well-performing correctional system. The key characteristics were leadership, vision, and a bias to action that leads to implementation of best practices.

This year for the first time at ICPA conferences, there was a separate workshop track dedicated to community corrections. These workshops covered the following topics:

- What is a well functioning community corrections system?
- Practices in community corrections system management.
- Examples of effective operations in community corrections.
- Managing and treating special populations in the community.
- Challenges facing community correctional facilities and support systems.

Time was also set aside in the conference for professional group meetings. The community corrections professional group met to discuss future agenda items for ICPA conferences. This group expressed the need for a more specific focus on probation.

I would like to see NAPE, as an affiliate member of ICPA, take a leadership role by getting more involved with this international organization. This involvement could be in assisting ICPA in the shaping of their agenda for a greater focus on probation worldwide.

Irish Association for Studies in Delinquency (IASD)

The last conference I attended was the seventh annual conference of the Irish Association for Studies in Delinquency (IASD) held in Cavan, Ireland November 3-5, 2004. Positive interventions and effective use of sanctions for offenders was the focus of this conference. The objective was to address the issue of the application of effective sanctions while striking a balance between the use of community measures and imprisonment. The conference offered delegates an opportunity to examine how the criminal justice system works, its strengths and weaknesses and what could or should be done to make it more effective.

A wide range of international speakers presented. In addition, participants attended a number of breakout sessions and reported their work back to the plenary sessions of the conference. IASD plans to publish the proceedings of the conference in the New Year.

Professor Tapio Lappi-Seppälä discussed sentencing and sanctions in Finland and noted how the use of community service orders had assisted Finland in lowering its incarcerated populations. Dr. Shane Kilcommins of Ireland noted the relationship between risk in Irish society and the development of a crime control model of criminal justice. Dr. Mary McMurrin from Wales presented on the issues involved in the use of curriculum and manuals in the delivery of treatment services to offenders. Phil Scanton, a professor at the Queen's University, Belfast discussed the implications of the anti-social behavior orders in England and Wales.

The workshops covered the following trends and issues:

- Sentencing: how balanced is it?
- Partnerships in, with and through communities: the Northern Ireland experience.
- Wiping the slate clean: a business perspective on employment after release from prison.
- Parole: the Scottish perspective.
- Aftercare: reality or myth?

At the conference there was a great deal of discussion and dialogue and a definite interest in looking for effective and efficient ways to deliver correctional services that would meet the goal of enhancing public safety.

Conclusion

In summarizing my autumn experiences at these conferences I would note the following:

- In a post 9/11 world everyone is more security conscious.
- There is a growing recognition of the consequences of high incarceration rates: economically, socially and eventually politically.

- Corrections and probation specifically have not occupied a preferred spot in government priorities despite the political rhetoric about tough on crime and tough on the causes of crime.
- The management of risky populations in the community, especially prolific offenders and sexual offenders is gaining more attention.
- The challenges related to the offender's return to the community are getting more attention especially the housing and employment needs of the released prisoner.
- The growing awareness of the need for partnerships with and among criminal justice and social service agencies is occupying more of the correctional administrator's agenda.

- An interest in the revitalization or reinvention of probation as an important community safety service is gaining more acceptance worldwide.

In concluding this autumn reflection on the state of probation, I would encourage probation leaders to take any and all opportunities to learn from other probation jurisdictions both at home and abroad. We can definitely learn from each other. NAPE can be an effective community of practice for probation leaders and we can strengthen that role by reaching out beyond our borders. A beyond borders dialogue can assist in the development and growth of a body of knowledge about probation effectiveness and in fostering best practices in the field of probation.

FROM THE BOOKSHELF

A Guide to Getting Results

A review of *Execution: The Discipline of Getting Things Done*, by Larry Bossidy and Ram Charan. New York: Crown Business, 2002, pp.278, \$27.50 (cloth).

A key test of leadership is the ability to get things done. The real litmus test for a leader is not how exciting the strategic plan sounds but whether or not the plan can be realized. The authors, Larry Bossidy, Chairman and former CEO of Honeywell International, and Ram Charan, consultant to chief executive officers and senior managers and a professor at Harvard Business School and the Kellogg School at Northwestern, have provided practitioners with a compelling narrative of how to get things done. They argue that execution is the great unaddressed issue and is the single biggest obstacle to success and the cause of most of the disappointments that are mistakenly attributed to other causes.

According to Bossidy and Charan, leaders place too much emphasis on high-level strategy, on intellectualizing and philosophizing, and not enough time on implementation. For them, execution is more than tactics; it is a discipline and a system. Execution needs to be built into an agency's strategy, goals, and culture. The leader needs to be deeply engaged in implementation. The authors state that leaders in an implementation culture design strategies that are more road maps than rigid paths buried in thick planning documents! For them, execution is a specific set of behaviors and techniques that need to be mastered in order to be competitive. Execution-oriented organizations, according to the authors, change faster than others because they are closer to the situation.

However, the main requirement is for the leader to be deeply and passionately engaged in the organization and brutally honest with self and staff about realities facing the organization. This is a book about how, as a leader, you establish credibility by getting things done in a disciplined way. The book is divided into three sections and provides a step by step program for getting things done.

The first section establishes why the authors believe execution is an important requirement in a well-performing organization. It is argued that strategies generally fail because they are poorly

executed for one of two reasons — either the organization is incapable of making them happen, or the leader misjudges the challenges faced by the organization. In some cases both reasons may be valid.

Bossidy and Charan stress that the failure to know of and to close the gap between what the organization's leaders want to achieve and the ability of their organization to achieve it is to become a chronic underperformer. To understand what is meant by execution you need to keep the following points in mind:

- Execution is a discipline, and integral to strategy.
- Execution is the major job of the leader.
- Execution must be a core element of an organization's culture.

Further the authors note that the key to execution lies in three core processes: the people process; the strategy process; and the operations process. They return to a fuller discussion of these processes in the last section of the book.

In the second section Bossidy and Charan deal with the three main building blocks of execution: the leader's essential behaviours; creating a framework for cultural change; and having the right people in the right place. According to the authors there are seven essential behaviors that form the first building block of execution. They are:

- Know your people and your business. In organizations that don't execute, the leaders are usually out of touch with the day-to-day realities.
- Insist on realism.
- Set clear goals and priorities.
- Follow through.
- Reward the doers.
- Expand people's capabilities.
- Know yourself. The authors highlight four key qualities that provide emotional fortitude in a leader: authenticity, self-awareness, self-mastery, and humility.

The second building block of execution is the ability to create a framework for cultural change. Key points in the framework are linking rewards to performance, robust and effective dialogue

in staff meetings and remembering that leaders get the behavior they exhibit and tolerate.

The final building block relates to the leader's job of ensuring that the right people are in the right place at the right time. The authors note that many jobs are filled with the wrong people because the leaders who promote them are comfortable with them. Bossidy and Charan discuss four qualities of leaders in regard to working with staff. Leaders who get things done:

- Energize people.
- Are Decisive on tough issues.
- Get things done through others.
- Follow through.

The authors note that people who can't work with others reduce the capacity of their organizations. Also leaders, they note never finish a meeting without clarifying what the follow-through will be, who will do it when and how they will do it, what resources they will use, and how and when the tasks will be reviewed.

In the final section of the book Bossidy and Charan return to the discussion of the three core processes of execution. The three processes are interdependent on each other and a clear linkage needs to be made between and among the processes. The people process is linked with strategy and operations. The strategy process is linked with people and operations. And finally the operations process is linked with strategy and people.

Reviewing the organization's strategy is an important and key function of the management team. The authors suggest the need for a discussion based on the key questions: Is the plan plausible and realistic? Is it internally consistent? Does it match the critical issues and the assumptions? Are people committed to it?

Other big issues to be explored include:

- How well do the staff team know about the competition or what others in the field are doing?
- How strong is the organizational capability to execute the strategy
- Is the plan scattered or focused?
- Have we chosen the right ideas, practices or methods?
- Is there a planned follow-up?

This book is full of helpful insights and practical suggestions for leaders who want to make a difference by getting things accomplished. This book deserves a place on the leader's bookshelf and can profitably be read and re-read until the concepts and practices of getting things done becomes part of the make-up of the leader and his or her organization.

Donald G. Evans

A Personal View of the Reentry Issue

A review of *Life on the Outside: The Prison Odyssey of Elaine Bartlett*. By Jennifer Gonnerman. New York: Farrar, Straus and Giroux, 2004, pp. 356, \$24.00 (cloth).

Over the past several years a number of books and reports have been written on the issue of prisoner reentry. Jeremy Travis and

Joan Petersilia have assumed leadership roles in bringing this important subject to the forefront. While their scholarly efforts have presented a global approach to the issues of offender reentry, a more recent book has provided a very personal perspective of this timely and critical issue. Such is the case of *Life on the Outside: The Prison Odyssey of Elaine Bartlett*. Expertly crafted by Jennifer Gonnerman, an award winning staff writer for *The Village Voice*, this biography traces the life of Elaine Bartlett, a resident of a housing project in East Harlem, who at age 26 was arrested for selling a small quantity of cocaine to an undercover police officer in Albany, New York, and who was subsequently sentenced to serve 20 years-to-life under the Draconian Rockefeller drug laws. From 1984 until she received executive clemency from Governor George Pataki, Bartlett spent 16 years in the Bedford Hills Correctional Facility, where she initially experienced some adjustment problems before becoming a model prisoner. Following her release on parole in 2000, Bartlett returned to a dysfunctional and stressful life and to a world that had significantly changed.

Elaine Bartlett and her family are not particularly sympathetic characters. The subject of this study was one of seven children born to Yvonne Powell Bartlett, who died in 1998 while her daughter was in prison. Two of Bartlett's four brothers are imprisoned, another was murdered on a street corner, and yet another died of an AIDS-related illness. One sister, a drug addict and HIV positive, died following her release from prison, leaving the youngest sister the only sibling without a criminal record. Bartlett has four children, two sons by a former gang member turned minister and two daughters by her co-defendant, who is still incarcerated.

While she availed herself of some educational and self-improvement programs during her period of incarceration, Bartlett was ill-equipped to deal with the complexities of urban life upon release. Saddled with a questionable value system, Bartlett experienced difficulty in finding suitable employment, managing her limited financial resources, maneuvering the social service system, avoiding persons with criminal records, reestablishing herself as the mother of her children, and providing some semblance of order to her chronically troubled family. Were it not for a few responsible friends, a forgiving employer, and an understanding parole officer, she would have likely found her way back into prison.

Despite her personal limitations and the challenges she faced — and they were many rather than few — she survived her period of supervision and was discharged from parole in 2003. According to the author, Bartlett celebrated her release from parole "by going to the apartment of a former coworker and smoking weed."

Life on the Outside is a remarkable book in that the author has been successful in "getting inside the head" of her subject and, in doing so, she has provided an honest, revealing, and instructive case study into the life of an offender and the members of her family. In addition, Gonnerman did a more than credible job of researching the criminal justice system and post-incarceration issues, as evidenced by an impressive bibliography and list of persons interviewed in connection with the writing of this book. *Life on the Outside*, in addition to being good reading, could easily serve as a supplemental text in a college course dealing with correctional policy.

Dan Richard Beto

NEWS FROM THE FIELD

BUREAU OF JUSTICE STATISTICS REPORT:
ALMOST 6.9 MILLION UNDER
CORRECTIONAL SUPERVISION

The nation's combined federal, state and local adult correctional population reached a new record of almost 6.9 million men and women in 2003, an increase of 130,700 people since December 31, 2002, the Justice Department's Bureau of Justice Statistics (BJS) announced in July 2004.

The correctional population of 6,889,800 includes people incarcerated in prisons and jails as well as those on probation and parole. On June 30, 2003, 1,387,269 adults were incarcerated in federal and state prisons and 691,301 inmates in local jails. And as of December 31, 2003, 4,073,987 adults were on probation and 774,588 on parole.

About 3.2 percent of the nation's adult population, or one in every 32 adult residents, were incarcerated or on probation or parole in 2003. The adult probation population grew by 49,920 men and women, slightly less than half the average annual growth of 2.9 percent since 1995. The nation's parole population grew by 23,654 men and women in 2003, or 3.1 percent, almost double the average annual growth of 1.7 percent since 1995.

At the end of last year, the number of adults on probation or parole reached a record high of more than 4.8 million, which was 70 percent of all persons under federal, state or local correctional supervision. More than 1 million of the nation's probationers and parolees were in Texas (534,260) and California (485,039).

Four states had an increase of 10 percent or more in their probation populations in 2003: Kentucky (up 17 percent), Mississippi (up 15 percent) and Nebraska and New Hampshire (each up 12 percent). The adult probation population decreased in 19 states, led by Minnesota (down 10 percent).

As of last December 31, more than half of the probationers were white, 30 percent were black, 12 percent were Hispanic and 2 percent were of other races. Women comprised 23 percent of all adults on probation.

About 71 percent of probationers were under active supervision and were required to regularly report to a probation authority in person, by mail or by telephone. Forty-nine percent of all probationers had been convicted of a felony, 49 percent of a misdemeanor and 2 percent of other infractions. Twenty-five percent had been convicted of a drug offense, 17 percent for driving while intoxicated or under the influence of alcohol, 12 percent for larceny or theft, 9 percent for other assault, 7 percent for domestic violence, 6 percent for minor traffic infractions, 5 percent for burglary, 4 percent for fraud and 3 percent for sexual assault.

Of the almost 2.2 million probationers discharged from supervision during 2003, about three in five had successfully met the conditions of their supervision. About 16 percent were incarcerated because of a rule violation or a new offense, and 4 percent had absconded.

Seventeen states had double-digit increases in their parole populations in 2003. Five states had increases of 20 percent or higher: North Dakota (53 percent), Alabama (31 percent), Kentucky (27 percent), New Hampshire (25 percent) and New Mexico (23 percent). Twelve states had decreases, led by Hawaii (down 11 percent).

Of those in the community last year who were on parole, 13 percent were women. Forty-one percent were black, 40 percent

were white, 18 percent were Hispanic and 2 percent were of other races. About 83 percent of all parolees were under active supervision and were required to regularly contact a parole authority in person, by mail or by telephone.

About 470,500 parolees were discharged from supervision during 2003. Forty-seven percent had successfully met the conditions of their supervision, 38 percent were returned to incarceration with a new sentence or because of a rule violation, and about 9 percent had absconded.

The bulletin — *Probation and Parole in the United States, 2003 (NCJ-205336)* — was written by BJS statisticians Lauren E. Glaze and Seri Palla. This document can be accessed at:

www.ojp.usdoj.gov/bjs/abstract/ppus03.htm

For additional information about Bureau of Justice Statistics reports and programs, please visit the BJS Web site at www.ojp.usdoj.gov/bjs.

The Office of Justice Programs (OJP) provides federal leadership in developing the nation's capacity to prevent and control crime, administer justice, and assist crime victims. OJP is headed by an Assistant Attorney General and comprises five component bureaus and two offices: the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime, as well as the Office of the Police Corps and Law Enforcement Education, and the Community Capacity Development Office, which incorporates the Weed and Seed program. Information about OJP programs, publications, and conferences is available on the OJP web site, <http://www.ojp.usdoj.gov>.

CRAIG PROMOTED IN IOWA

On September 9, 2004, Iowa Department of Corrections Director **Gary D. Maynard** announced the appointment of **Daniel R. Craig** as the Western Region Deputy Director for the Department of Corrections. Craig succeeds **Jeanette Bucklew**, who was recently appointed Deputy Director of Offender Services. The Department's Western Region includes:

Iowa Correctional Institution for Women (Mitchellville)
Ft. Dodge Correctional Facility
North Central Correctional Facility (Rockwell City)
Clarinda Correctional Facility
Second Judicial District Department of Correctional Services (Ames)
Third Judicial District Department of Correctional Services (Sioux City)
Fourth Judicial District Department of Correctional Services (Council Bluffs)
Fifth Judicial District Department of Correctional Services (Des Moines)

Craig, a member of the Board of Directors of the National Association of Probation Executives, was the District Director of the First Judicial District Department of Correctional Services in Waterloo, Iowa.

Craig began his corrections career with the First Judicial District in Waterloo as a Residential Advisor in the Work Release

Facility. Over the next 15 years, he was appointed to a number of promotional positions within the First District. In September 2000, Craig was appointed as Assistant Deputy Director for the Department's Eastern Region. These duties included formulating policy, budget, and program direction within the Eastern Region institutions and judicial districts.

In June 2002, the First Judicial District Board of Directors appointed Craig as Director of the First District. As District Director, Craig's responsibilities included probation, parole, pretrial release, and residential facilities. The First District operates under a \$12,000,000 budget with approximately 200 employees and 4,500 offenders under supervision.

In January 2004, the American Corrections Association recognized and presented their 2004 Exemplary Offender Program Award to the First District for its outstanding achievement in developing a Dual Diagnosis treatment program.

Craig's extensive administrative experience and understanding of program needs will provide the necessary direction and support to meet the Department's growing demands and future challenges. His appointment as Western Region Deputy Director became effective on September 24, 2004.

HERKELMAN ASSUMES NEW POSITION

The Board of Directors for the First Judicial District Department of Correctional Services in Waterloo, Iowa, approved the appointment of **Karen E. Herkelman** to the position of District Director, effective September 24, 2004. She previously served as the Assistant Director in the First District.

The Director position became vacant after **Daniel R. Craig** was appointed as Deputy Director for the Iowa Department of Corrections on September 9, 2004.

Herkelman, a member of the National Association of Probation Executives, has worked in community-based corrections for the First Judicial District for the past 25 years, holding a variety of positions. She is a graduate of the Hawkeye Institute of Technology and the University of Northern Iowa and lives with her family in Hudson.

Herkelman's strong corrections background and excellent leadership and management skills will be a tremendous asset to the First District. Her energy and vision will lead the First District to meet the future challenges facing corrections.

REPRESENTATIVES FROM PAPUA NEW GUINEA
HAVE EXCHANGE WITH NAPE PAST PRESIDENT

On October 29, 2004, **Evan J. Paki**, Ambassador to the United States from Papua New Guinea, and a delegation of his country's justice officials, including the Ministers of Justice, Corrections, and Police, met with **Dan Richard Beto**, Executive Director of the Correctional Management Institute of Texas and a NAPE past President, to discuss issues relating to crime trends, sentencing policies, capital punishment, and criminal justice training.

Also participating in these discussions were **David Webb**, Assistant Director of the Law Enforcement Management Institute of Texas, and Professor **Phillip M. Lyons**, Director of the Texas Regional Community Policing Institute, both with Criminal Justice Center at Sam Houston State University.

Papua New Guinea, an independent country since 1975, is a group of islands — including the eastern half of the island of New Guinea, which it shares with Indonesia — between the Coral

Sea and the South Pacific Ocean north of Australia. The country, with a population of almost six million people, is governed by a constitutional monarchy, a democratically elected parliament, and a legal system based on English common law.

The country's ethnic groups include Melanesian, Papuan, Negrito, Micronesian, and Polynesian. Melanesian Pidgin serves as the country's primary language, with Motu spoken in the Papua region. Only 1 percent to 2 percent of the islands' population speaks English. Of particular interest is the fact that there are over 700 indigenous languages used in the country, many of which are unrelated, which poses a problem in governance.

Transnational problems confronting the country's criminal justice system include smuggling, drug trafficking, and Indonesian squatters and secessionists. One of the major problems within the country is dealing with the brutal feuds between the many indigenous groups. Because of warring tribes and associated killings, the government of Papua New Guinea is exploring the possibility of revising its laws to include the death penalty.

Ambassador Paki was impressed with the cooperative relationship he observed between the Texas Department of Criminal Justice and Sam Houston State University. In addition, he spoke favorably of the professional development training delivered by the University's Institutes. Beto and Webb encouraged Ambassador Paki and his Ministers to consider sending law enforcement and corrections personnel to the Criminal Justice Center for training in comparative correctional practices.

EXECUTIVE DEVELOPMENT PROGRAM FOR
PROBATION LEADERS CONDUCTED

On September 19-24, 2004, the highly successful Executive Development Program for newly appointed probation and parole executives was held at the George J. Beto Criminal Justice Center in Huntsville.

This national program, in existence since 1997, is a joint initiative of the National Institute of Corrections, the National Association of Probation Executives, and the Correctional Management Institute of Texas at Sam Houston State University.

Topics covered during this week-long program included leadership analysis and development, working within the organization, surviving the political arena, strategic planning, team building, presentation skills and media relations, legal and staff safety issues, evidence based practices, resource availability and fiscal issues, and reinventing community corrections.

Members of the peer faculty included: **Dorothy Faust**, Correctional Programs Specialist with the National Institute of Corrections; **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 Texas and past President of the National Association of Probation Executives; **Martin Krizay**, Director of the Yuma County Adult Probation Department in Arizona and a member of the Board of Directors of the National Association of Probation Executives; **Marcus Hodges**, Correctional Programs Specialist with the National Institute of Corrections; and **Cheryl K. Townsend**, Director of Juvenile Court Services for Maricopa County, Arizona, and President of the National Association of Probation Executives.



Participants and faculty of the Executive Development Program

In addition to the regular faculty, **Phillip M. Lyons**, Associate Professor of Criminal Justice, and **David Epps**, Director of Media Services, both with the Criminal Justice Center at Sam Houston State University, assisted in delivering relevant training.

Participants came from throughout the United States and included: **Cynthia S. Dillard** of Alabama; **Billie Grobe** and **Scott Mabery** from Arizona; **Timothy P. Ryan** of Florida; **David Nelsen** from Idaho; **James L. Wagner** of Kentucky; **Jonathan Bell** from New Jersey; **Richard L. Gilmore** of Ohio; **Caroline Rickaway**, **Toby Ross**, and **Lucinda Simons** from Texas; and **Marcus S. Elam**, **Neal S. Goodloe**, **Kathryn C. Hall**, and **Malcolm L. Taylor** of Virginia.

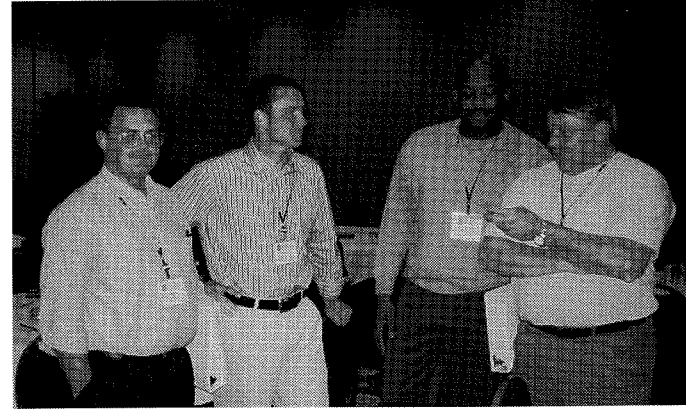
Christie Davidson, Assistant Director of the Correctional Management Institute of Texas, provided the logistical support for this national program. Transportation between Houston Intercontinental Airport and the training site was provided by the Correctional Institutions Division of the Texas Department of Criminal Justice.

NATIONAL RESOURCE CENTER FOR POLICE-CORRECTIONS PARTNERSHIPS HOLDS CONFERENCE

On October 12-15, 2004, the National Resource Center for Police-Corrections Partnerships held its first training program in Indianapolis, Indiana. The theme of this program — attended by teams of probation and parole officers, law enforcement officers, prosecutors, and social service providers — was “developing and maintaining meaningful coalitions.”

The Center, a cooperative project of the Correctional Management Institute of Texas and the Law Enforcement Management Institute of Texas, was established by a grant from the Bureau of Justice Assistance to promote sustainable partnerships between law enforcement and community corrections agencies through training and technical assistance.

“Indianapolis was selected as a site because of its central location and because of the excellent problem-solving partnerships that exist there,” said **Dan Richard Beto**, the Center’s Director. “The partnering of law enforcement, community corrections, and social service agencies prevalent in Indianapolis and Marion County could well serve as a case study.”



Gerald R. Hinzman, far right, elaborates on a point with program participants.

Teams of criminal justice and juvenile justice professionals from Indiana, Illinois, Ohio, Minnesota, and Kentucky attended the conference, where they received relevant training conducted by some of the leaders in police-corrections partnerships. Presenters included: **Ronald P. Corbett, Jr.**, Executive Director of the Massachusetts Supreme Judicial Court and Chair of the Manhattan Institute’s Reinventing Probation Council; **Joanne Fuller**, Director of Multnomah County Department of Community Justice in Portland, Oregon; **Gerald R. Hinzman**, Director of the Sixth Judicial District Department of Correctional Services in Cedar Rapids, Iowa; and **David Webb**, the Center’s Assistant Director.

Participants also heard from representatives of the Indianapolis Violence Reduction Partnership, including: **Jason D. Hutchens**, Coordinator of the Marion County Justice Agency; **Tim Horty**, a Deputy Chief with the Indianapolis Police Department; **Robert L. Bingham**, Chief Probation Officer for the Marion Superior Court; and **Joseph Ordower**, a Parole Agent with the Indiana Department of Corrections.



Pictured, from left to right: Jason Hutchens, Tim Horty, Robert L. Bingham, and Joseph Ordower.

Members of the faculty from the community corrections profession are active members of the National Association of Probation Executives.

Katherine M. Brown, a graduate student in the College of Criminal Justice, served as coordinator of this program.

The Center plans to conduct four additional regional training programs prior to October 2005.

SPOKANE YOUTH FOR SOCIAL RESPONSIBILITY RECEIVES NATIONAL INNOVATIONS HONORABLE MENTION AWARD

The Councils of State Government held their Annual State Trends and Leadership Forum on September 25-29, 2004, in Anchorage, Alaska. As part of this conference, the CSG selected their *Innovations in State Government Award for 2004*. Out of 13 finalists, the Spokane Youth for Social Responsibility (SYSR) Project was awarded honorable mention (third place). First place was awarded to a University in New Mexico for an international trade innovation which will now allow small businesses to become certified to trade globally, which has huge economic implications for states and their budgets. As the emphasis of this national conference was basically an economic/global trade summit, it made sense they would make this a priority.

Washington State “Priorities in Government” (the Governor’s project) took second place, which also has huge implications for the way government does business. And then Spokane Youth for Social Responsibility was selected as the Alternate.

Nancy Jahns, a Community Corrections Officer in the Spokane Valley Office accepted the recognition and expressed that she was “very honored and thrilled” given the level of presenters, which were directors of agencies and prestigious university professors. This is a very positive recognition by national and state leaders in government, and generated renewed interest in prevention and alternatives to incarceration for our youth.

According to Jahns, “California State Senator Noll Soto and his Chief of Staff have requested that we consider an invitation to California to introduce the project. Also, Alaska has requested support in implementing it.”

Jahns presented the SYSR Project at the Alaska State Symposium of Prevention and Treatment in November.

The Department of Corrections has supported the Spokane Youth for Social Responsibility Project and awarded the start-up team the DOC Community Partnership Award at the Annual Agency Awards Ceremony last May.

GOETHALS ANNOUNCES RETIREMENT PLANS

In October 2004 **Ron R. Goethals**, Director of the Dallas County Community Supervision and Corrections Department in Dallas, Texas, announced plans to retire in January 2005. Goethals, who has devoted more than three decades to the criminal justice system, has been recognized as a leader in community corrections, not only in his home state of Texas but nationally.

Over the years, Goethals has made significant contributions to the field of community corrections while advancing his department to the stage that it is considered a model by many. He is a past president of the National Association of Probation Executives, past member of the Board of Directors of the American Probation and Parole Association, and past member of the Texas Probation Training Academy Advisory Board.

Goethals is one of the original faculty members of the Executive Development Program for new probation and parole executives, a cooperative initiative of the National Institute of Corrections, National Association of Probation Executives, and the Correctional Management Institute of Texas at Sam Houston State University.

He is frequently called upon as a management consultant, not only in the United States but internationally.

During his distinguished career, Goethals has been the recipient of a number of awards and recognitions. In 1996 he was presented with the Distinguished Service Award by the Texas Probation Training Academy and in 1999 the Texas Probation Association recognized him as the Outstanding Adult Probation Administrator. In 2001 the Texas Probation Association again recognized him, this time with its President’s Award. In 2002 Goethals was the recipient of the top awards of three professional organizations: the Texas Probation Association presented him with the Charles W. Hawkes Lifetime Achievement Award; the Texas Corrections Association inducted him into the George J. Beto Hall of Honor; and the National Association of Probation Executives recognized him as the Outstanding Probation Executive of the Year. Finally, in 2005 the Correctional Management Institute of Texas presented him with the Excellence in Technology Award.

“Probation will suffer a significant void with the retirement of Ron Goethals,” said **Christie Davidson**, Assistant Director of the Correctional Management Institute of Texas. “He has been one of the outstanding leaders in the criminal justice system, not only in Texas but nationally.”

On January 14, 2005, over 250 friends and colleagues attended a ceremony in Dallas to honor Goethals. Program speakers included: **Jim Mills**, Assistant Director of the Dallas County Community Supervision and Corrections Department; **Keith Dean**, Judge of the 265th Judicial District; **Dan Richard Beto**, Executive Director of the Correctional Management Institute of Texas and a NAPE past President; **George M. Keiser**, Chief of the Community Corrections and Prisons Divisions of the National Institute of Corrections; and **Rick Zinsmeyer**, Director of the Williamson County Adult Probation Department and NAPE Secretary.

Despite Goethals plans to spend more time with his grandchildren, dog, golf clubs and completing chores around the house, both Beto and Keiser said that they plan to call on his talents and expertise to assist in providing training and technical assistance to criminal justice agencies.

COCKERELL ASSUMES NEW CHALLENGE

Carey D. Cockerell, Director of Tarrant County Juvenile Services in Fort Worth, Texas, for the past two decades, has been chosen to lead the troubled Texas Department of Family and Protective Services. Cockerell, who serves on the Board of Directors of the Texas Probation Association and the National Association of Probation Executives, is a recognized leader in the delivery of human services.

In 2001, the American Youth Policy Forum recognized Tarrant County Juvenile Services as one of the “guiding lights of reform in juvenile justice” and described Cockerell’s approach to juvenile justice as innovative and effective.

Cockerell earned a bachelor’s degree in philosophy from Ouachita Baptist University and a master’s degree in social work from the University of Louisville. Prior to being named the Director of Tarrant County Juvenile Services in 1984, Cockerell held several positions with the Texas Youth Commission, including Director of the Statewide Reception Center, Superintendent of the Corsicana State Home, and Superintendent of the Brownwood State School.

Cockerell served on the Texas Reinventing Probation Strategy Group and is a member of the Advisory Council for the Correctional Management Institute of Texas.

In 2002 the National Association of Probation Executives and the Iowa Community Corrections Improvement Association

presented Cockerell with the George M. Keiser Award for Exceptional Leadership.

Since assuming the position of Commissioner of Department of Family and Protective Services, Cockerell has been exploring options as to how the agency might be reformed.

PETERSILIA HONORED

At the winter conference of the American Corrections Association held in Phoenix, Arizona, **Joan Petersilia**, professor of Criminology, Law, and Society at the University of California – Irvine, was honored for her “dedication to correctional research.” Petersilia, who began her career in criminal justice research at the RAND Corporation, was presented with the Peter P. Legins Research Award on January 11, 2005, for her many accomplishments.

In addition to this honor, Petersilia has received recognition from the American Probation and Parole Association, California Probation, Parole, and Corrections Association, and the American Society of Criminology.

Petersilia has authored a number of books relating to corrections and criminal justice, including *Reforming Probation and Parole in the 21st Century* and *When Prisoners Come Home: Parole and Prison Reentry*.

BETO HOSTED IN POLAND

From October 21-26, 2004, **Dan Richard Beto**, Executive Director of the Correctional Management Institute of Texas, was in Warsaw and Krakow as a guest of the Polish National Police and the Polish Central Board of Prison Service. The purpose of this visit was to strengthen existing relationships and develop new ones.

During his stay in Poland, Beto met with General **Leszek Szreder**, Commander-in-Chief of the Polish National Police, and members of his command staff; General **Jan Pyrcak**, Director General of the Prison Service along with his top executives; **Urszula Wieczorek**, a Judge with the Ministry of Justice in charge of probation practices; and **Piotr Burczyk**, President of the Association of Probation Officers of Wielkopolska.



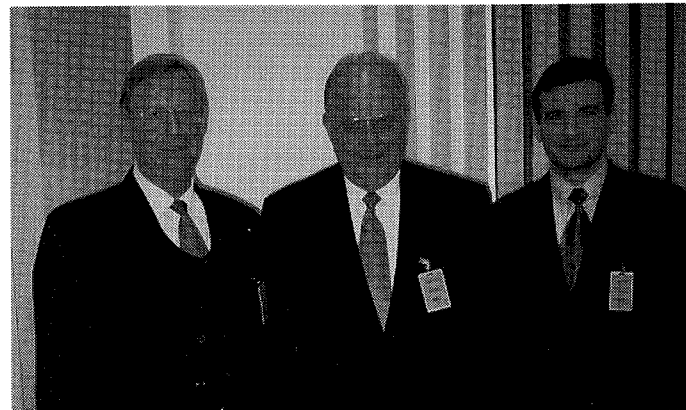
Pictured, from left to right: General Andrzej Popiolek, Prison Service Deputy Director; General Leszek Szreder, Commander-in-Chief of the Polish National Police; General Jan Pyrcak, Director General of the Prison Service; Beto; Colonel Marek Szostek, Prison Service Deputy Director; and Colonel Jan Dziejowski, Prison Service Legal Advisor.

“For the past four years the Polish National Police has sent its top commanders to Sam Houston State University for an overview

of and exposure to the law enforcement and correctional systems of the United States and Texas,” explained Beto. “The purpose of these meetings with the police was to review what had transpired with previous delegations to Texas and to consider modifying the program for future groups.”

The meetings with correctional officials were devoted to a host of topics, including crime policy, sentencing issues, comparative correctional practices, and the development of an exchange program. As a result of these meetings, it was agreed that administrators from the Polish Prison Service would come to Texas at the invitation of the Correctional Management Institute of Texas; further, as part of the agreement, the Institute would arrange for a delegation of Texas wardens and prison administrators to visit Poland in late spring or early summer.

Finally, the meeting at the Ministry of Justice resulted in a tentative agreement being reached in which a delegation of judges and probation officials will be sent to Texas in the spring and a similar delegation from Texas would travel to Poland in late summer or early fall.



Pictured, from left to right: Piotr Burczyk, President of the Association of Probation Officers; Beto; and Lieutenant Rafal Wasiak with the Polish National Police.

“It is my hope that productive relationships will develop between the Criminal Justice Center and the institutional and community corrections systems of Poland, similar to that currently in place with the Polish National Police,” Beto said.

In addition to the meetings, Beto had an opportunity to tour three confinement facilities, one in Warsaw and two in Krakow. “I was very impressed with these facilities,” Beto said. “They were exceptionally well run, the staff was professional, and the programs were relevant to the rehabilitation of those confined.”

Lieutenant **Rafal Wasiak** with the Polish National Police was responsible for coordinating Beto’s itinerary and serving as his interpreter. Wasiak earned a master’s degree in criminal justice from Sam Houston State University in 2004.

NEW MEMBERS

Since the publication of the Spring 2004 issue of *Executive Exchange*, 25 new members have joined the National Association of Probation Executives. The new individual members are as follows:

Jonathan Bell, Chief Probation Officer, Morris County Probation Department, Morristown, New Jersey.

R. Christopher Boyd, Chief Probation Officer, Adams County Adult Probation Department, Gettysburg, Pennsylvania.

Jim Buzard, Chief Probation Officer, Coconino County Adult Probation Department, Flagstaff, Arizona.

Cynthia S. Dillard, Assistant Executive Director, Alabama Board of Pardons and Paroles, Montgomery, Alabama.

Marcus S. Elam, Chief Probation and Parole Officer, Virginia Department of Corrections, Chesapeake, Virginia.

Richard L. Gilmore, Unit Director, Warren County Pleas Court Adult Probation Department, Lebanon, Ohio.

Neal S. Goodloe, Chief Probation Officer, Virginia District 9 Probation Department, Charlottesville, Virginia.

Billie Grobe, Chief Probation Officer, Yavapai County Adult Probation Department, Prescott, Arizona.

Kathryn Clark Hall, Chief Probation and Parole Officer, Virginia Department of Corrections, Norfolk, Virginia.

Jerry Harper, Chief Probation Officer, San Bernardino County Probation Department, San Bernardino, California.

Donald F. Isaac, Chief Probation Officer, Union County Probation Department, Liberty, Indiana.

Linda W. Layton, Director, Office of Classification Services, Department of Juvenile Justice, Decatur, Georgia.

Richard Levy, First Deputy Commissioner, New York City Department of Probation, New York, New York.

Scott Mabrey, Director of Juvenile Court Services, Yavapai County Juvenile Probation Department, Prescott, Arizona.

David Nelsen, Deputy Administrator, Idaho Department of Corrections, Boise, Idaho.

Raymond C. Reade, Director, Erie County Adult Probation and Parole Department, Erie, Pennsylvania.

Denise M. Robinson, Executive Vice President, Alvis House, Columbus, Ohio.

Toby Ross, Director, Johnson County Community Supervision and Corrections Department, Cleburne, Texas.

Timothy P. Ryan, Chief of Corrections, Orange County Corrections Department, Orlando, Florida.

Jim Shelton, Program Director, Metropolitan Court Probation Department, Albuquerque, New Mexico.

Lucinda Simmons, Director, Community Supervision and Corrections Department, Hereford, Texas.

Latimer Smith, Probation Officer III, Metropolitan Court Probation Department, Albuquerque, New Mexico.

Malcolm L. Taylor, Chief Probation and Parole Officer, District 7 Probation and Parole Department, Petersburg, Virginia.

James L. Wagner, Assistant Director, Kentucky Department of Corrections, Frankfort, Kentucky.

Todd D. Zweig, Deputy Chief Probation Officer, Pinal County Adult Probation Department, Florence, Arizona.

In addition to the new individual members, there were three organizational members who joined the Association; they are as follows:

Bell County Juvenile Probation Department (Lawrence F. Tinsley, Director), Killeen, Texas.

Concho Valley Community Supervision and Corrections Department (John Wilmoth, Director), San Angelo, Texas.

Dutchess County Office of Probation and Community Corrections (Mary Ellen Still, Director), Poughkeepsie, New York.

A POEM FROM THE EXECUTIVE DEVELOPMENT PROGRAM

by

Timothy P. Ryan
Chief of Corrections
Orange County Corrections Department
Orlando, Florida

During the Executive Development Program for new probation and parole executives held in Huntsville, Texas, twice a year, each participant is required to make a two-minute presentation which is filmed and later critiqued. Participants are given a certain degree of latitude in developing their presentations, with most selecting to make a presentation before their county commissioners, governing board, or a legislative committee. In the September 2004 class, Timothy P. Ryan of Florida presented a poem about the experience, which follows.

You said we had to do a video,
So, I remembered Marty’s Oscar review;
I said if he could give it a go,
Why not, me too.

So I put on my Chief PO’s hat,
And thought about what to say;
Thinking about what Cherie said to bring to bat,
Regarding the one, two, three display.

I thought about a good opening,
Something flashy, spirited, and true;
A little humor at the beginning,
A statement to shake off the morning dew.

Of course, some meat was needed in the message,
A grabber of probation highlights;
Like recent events in Florida to stage,
Focusing on probationers, officers, and victims rights.

Well, I thought, that might be a little sensitive,
And yet it gets to the heart of perceptions;
We really want all people to right live,
Within some life precepts, not misconceptions.

No one said it would be easy,
And they were certainly right;
For if they could only see,
The dedication with which we serve day and night.

All of us are truly committed,
To giving it our all;
From the first day all inhibited,
To retirement standing tall.

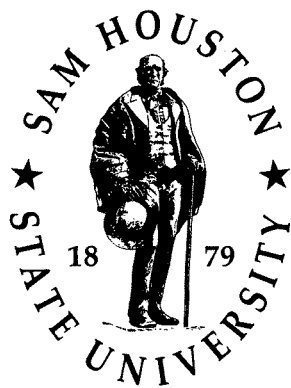
Well, we’ve listened to Dan, Dot, and Marty,
Holding onto their bits of wisdom;
Along with thoughts from Ron, Marcus, and Cherie,
So we are ready for whatever will come.

We’ll have all the tools we’ll need,
To make the ol’ job a success;
And live up to our Officer’s Creed,
Forever to go over the mountain’s crest.

The Virginia Group and their unique system,
To Arizona with Billie, Scott, and Sheriff Joe;
With Texas, Alabama, Florida, New Jersey on the rim,
As well as Richard’s Ohio and Dave’s Potatoes.

Bring in the Louisville slugger from Kentucky,
We are here to take the test;
Comin’ all the way to Huntsville, Texas,
To become NIC’s CPO Executive best.

Thanks for the opportunity,
To learn EB and all the rest;
We are now all we can be,
NAPE members beyond the quest!



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