

Critical Issues in Probation

By Edward J. Brown
October, 1982

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This project was supported under grant CV-6 awarded to the American Probation and Parole Association by the National Institute of Corrections. Points of view or opinions stated are those of the author and do not necessarily reflect the official position of the National Institute of Corrections or the U.S. Department of Justice.

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INTRODUCTION

Over the past decade probation has been a frequent focus of attention of the American criminal justice system. A variety of factors, alone and in combination, have led to the heightened interest in probation as a criminal sanction. Probation has been for some time and is currently, by far, the nation's most frequent response to crime. During the past decade probation caseloads have swelled to unprecedented levels with over 1.3 million persons under probation supervision nationwide, approximately four times the number of persons under sentence to correctional facilities.¹ Moreover, the importance of probation as a criminal sanction has increased significantly in recent years as the prison overcrowding crisis confronting the nation continues to worsen and jurisdictions look to probation as a means of reducing prison populations.² Such practices, of course, result in additional growth of an already burgeoning probation population.

Accompanying the growth in probation caseloads has been an increase in the demand on probation resources and services. Increasing caseloads require more probation personnel and more services to meet the needs of probationers. Furthermore, as the number of persons placed under probation supervision has grown the probation population's characteristics have become more diversified. Thus not only has it been necessary to provide more personnel and expand services to meet the needs of probationers, in addition the types of expertise required of personnel and the kinds of services needed have had to be more diversified to address the changing needs of the clients.

As the decade of the 70's drew to a close and we entered the decade of the 80's the problems confronting the field of probation resulting from increased and more diversified caseloads were exacerbated by the steadily declining economy. At a time when probation has been experiencing dramatic growth, revenues to meet the growing demands placed on probation agencies have not been forthcoming. Taxpayer revolts in a number of jurisdictions have led the way to the imposition of taxation and expenditure limitations that in turn have placed constraints on the public sector, with probation agencies among the departments receiving the largest cuts.³

At the same time that probation has been struggling to meet the day-to-day responsibilities of handling a larger, more diversified population in a declining economy, probation has been trying to overcome a century of fragmented and incremental development that has left probation with no clearly defined purpose. In the absence of a clear statement of mission probation has evolved as a catchall for various tasks that were believed to be inappropriate for other criminal justice agencies. Consequently, probation, as currently practiced, includes an almost unlimited array of functions and responsibilities, many of which have proven to be practically and/or philosophically incompatible and thus, have resulted in internal conflicts within probation.

Further complicating matters for probation has been the decline of community support for the criminal justice system, generally, and probation, specifically. Over the past fifteen years the crime problem and the criminal justice system's response to crime have occupied a central role in national and local politics. In the 60's and early 70's large sums of money were devoted to improving the criminal justice system and reducing

crime. Approximately \$250 million dollars was invested, over a ten year period, in action programs for the development of probation services by the Law Enforcement Assistance Administration alone.⁴ Concurrent with these efforts to improve the system came an increase in awareness on the part of the public with respect to rising crime rates and an increase in the public's expectations regarding the criminal justice system's ability to deal effectively with the crime problem. As the decade of the 80's unfolds the public's attitude has become increasingly skeptical. The public has become disenchanted with efforts to work with offenders in the community favoring tougher sentencing laws and increased use of incarcerative dispositions.

The public's growing disenchantment with the criminal justice system and probation in particular is not difficult to understand. The absence of a clear mission statement for probation, as pointed out earlier, has left probation with conflicting goals and functions and has resulted in confusion among the public regarding the purpose of probation and what can be expected of probation. Questionable results from programming efforts over the years, highlighted by recent claims that treatment programs are ineffective,⁵ have dampened the public's enthusiasm for community corrections as well. Add to the confusion regarding probation's role and probation's inability to demonstrate its effectiveness, a growing concern for accountability fostered by a weak economy and it is not difficult to understand the public's lack of support for probation.

As Fitzharris has suggested after consideration of these same factors, "in such a setting probation finds itself exposed and susceptible to attack"⁶ for a variety of reasons including: "an underclear mission;

overstated, unspecified and unmeasurable objectives; undemonstrated expertise and inadequate standards and training; unsubstantiated results; a history of inadequate funding; isolation from the public and a lack of public awareness; lack of strategic planning and effective management techniques; and a weak constituency."⁷

OVERVIEW OF THE PROJECT

Rationale for Undertaking the Project

It is against this backdrop of developments and emerging concerns in probation that the American Probation and Parole Association (APPA) conceived and developed, and the National Institute of Corrections (NIC) funded, the Critical Issues, Strategies, and Missions in Probation Project. The project was conceived in an effort to provide a forum for the identification of critical issues confronting the field of probation and the formulation of strategies aimed at resolving the issues identified. Ultimately the concern was that the issues and ameliorative strategies identified would reflect the concerns and respond to the needs of probation practitioners.

This project was not the first effort aimed at identifying and resolving issues in probation. Over the past decade or so a number of reports and papers have appeared that have as their primary objective the development of approaches for addressing issues confronting the field of probation.⁸ It was the considered opinion of the APPA project committee, however, that the forerunners of this project did not receive widespread acceptance from the field because they had not adequately involved probation practitioners in the identification of issues and formulation of ameliorative strategies.

The underlying premise of the Critical Issues, Strategies, and Missions in Probation Project was that past attempts in this area have not given sufficient consideration to the knowledge and experience of probation practitioners. It was presumed that the successful development and implementation of approaches to issue resolution requires that probation administrators, middle managers, and line personnel be given an opportunity to participate in the identification of priority issues and the development of the potential means of amelioration. Absent the commitment and involvement of probation practitioners strategies for issue resolution would run the risk of being ignored by the field as unrealistic or impracticable. Sanctioning of the ameliorative strategies from the field of probation, it was believed, could be procured most effectively through the involvement of practitioners in the formulation of the strategies.

Throughout the project the focal point of concern was to provide practitioners with a forum through which they could express, and share with other practitioners, their ideas, opinions and attitudes with respect to the identification of issues and ameliorative strategies. Practitioners participating in the project were encouraged to draw upon their knowledge and experience in formulating their responses in an effort to foster the development of innovative approaches to the resolution of issues.

Overview of the Project Phases

The project was designed to be conducted in three distinct but related phases. Each phase was designed to build upon the information gathered in the preceding phase. In the initial project phase the focus was on identifying critical issues. Participants were asked to identify

the ten issues they perceived to be the most critical ones confronting probation. In addition, participants were asked to rank order the issues identified and discuss the problems posed by each issue for probation.

In the second phase of the project respondents to the first questionnaire received a summary statement of the six issues most frequently cited in Phase I responses. Participants were then asked to consider each issue and the corresponding problems summarized and suggest approaches for resolving the issues that they believed were both feasible and desirable.

The third phase of the project was designed to utilize the information gathered in the preceding phases to develop position papers outlining the preferred strategies to be employed in resolving the six issues considered in Phase II. Six position papers were drafted at a conference sponsored by the project. Each paper was drafted independently by a select group of project participants. Persons in attendance at the conference were selected primarily on the basis of the quality of their responses to the questionnaires. Only those persons responding to both the Phase I and Phase II questionnaires were eligible to participate in the conference.

Administration of the Project

The project staff consisted of a full-time project director, a half-time administrative assistant/typist and three workshop facilitators. The project director was responsible for overseeing the project, developing and implementing the methodology for the project, developing the questionnaires and fact sheets, analyzing all questionnaire responses, organizing the

workshop conference, and drafting the working papers and final versions of the position papers. In addition, the project director was responsible for reporting to the National Institute of Corrections and the American Probation and Parole Association Advisory Committee and Board of Directors.

The administrative assistant/typist was responsible for record keeping and other clerical duties as well as for conducting follow-up phone calls to encourage responses to the first and second questionnaires. Project facilitators were employed for the workshop conference. Facilitators were assigned to various issue groups and were responsible for making sure that position papers were drafted by each conference issue group in the allotted time. Following the conference the facilitators assisted the project director in drafting the position papers. One of the facilitators also served as conference planner assuming responsibility for all conference arrangements.

In addition to the project staff an Advisory Committee consisting of 8 members of APPA assisted on the project. The Advisory Committee members were kept abreast of the progress of the project through regular meetings and communications with the project director. The Advisory Committee members, throughout the project, assisted in making follow-up calls to delinquent respondents, reviewing project products and data collection procedures and providing advice with respect to the content and logistic of conducting the project.

As indicated earlier the project was funded by the National Institute of Corrections. The grant award was for a 12 month period. As a result of delays in receiving responses to the first questionnaire the project was granted a 2 month extension necessary to complete the project. The extension was approved and conducted at no additional expense beyond the original grant amount awarded.

PROJECT METHODOLOGY

Project Participant Selection

Ideally the selection of participants should have been performed in such a way as to insure that the project participants as a group were representative of the population of probation practitioners across the country. A random sample of individuals from an exhaustive list of probation practitioners, stratified on the basis of salient characteristics such as agency size, geographic location, and the individual's position within an agency, would have been the preferred method for selecting participants. The data needed to draw such a sample, however, were not available. Consequently, an alternative method of selection was devised and utilized.

Absent an adequate listing of individual probation practitioners from which to draw a sample, the primary means of selecting participants relied on a listing of probation agencies and offices. Initially a simple random sample of 200 probation offices was drawn from the 1980 Adult Probation Directory⁹ compiled by the National Council on Crime and Delinquency. The directory consists of 2,378 probation offices identified by NCCD in the 50 states and the District of Columbia having jurisdiction over adult probation. The directory also includes probation agencies located in the various United States territories. This latter group of agencies was omitted from the sampling procedure.

The 200 offices selected in the initial sample were then randomly assigned to two groups of 100 offices each. One group of 100 offices was designated Administrators/Managers and the second group was designated Line Personnel. Each office in the first group received instructions

that the project questionnaires were to be completed by the administrative officer of the office, e.g., the Chief Probation Officer. Those offices assigned to the Line Personnel group received instructions that the questionnaires were to be completed by a line officer chosen by the administrator.

A review of the 200 offices generated by the random sample revealed only 4 offices serving major metropolitan areas. After considerable discussion among the members of the Advisory Committee and the project director it was decided that the issues confronting urban areas and/or the methods for resolving issues in urban areas might be considerably different than those in non-urban areas. As a result of this discussion a decision was made to include among the participants representatives from large metropolitan areas.

To insure adequate representation of urban areas among the participants a second selection procedure was employed. Using 1980 Uniform Crime Report¹⁰ data all cities with populations in excess of 250,000 were identified. Having identified the 57 cities meeting the criterion the probation office or offices serving each city was identified from the NCCD directory and included in the study group. A total of 88 offices serving the 57 cities were identified. The 88 offices were then randomly assigned to the Administrators/Managers and Line Personnel groups with 44 offices in each group. The same instructions regarding the completion of project questionnaires that were sent to the offices selected through the random sample were sent to the 88 urban offices.

Finally, after the Advisory Committee reviewed the list of offices generated by the random sample drawn from the NCCD directory and those meeting the criterion for inclusion in the large cities group the Advisory

Committee members suggested names of individuals that they believed would make a significant contribution to the project based on the individual's previous and current involvement in the field of probation. The 37 individuals chosen by the Advisory Committee included both administrators and line personnel.

After reviewing the three lists of offices and individuals compiled from the various participant selection procedures four duplicate selections were eliminated. The final list included 321 offices and individuals--196 offices generated by the random sample (4 urban offices were duplicated by the selection of urban areas and were therefore removed from the initial random sample), 88 urban offices serving 57 cities, and 37 individuals chosen by the Advisory Committee. These 321 offices and individuals included representatives from the District of Columbia and 47 of the 50 states.

Questionnaires and Fact Sheets

The process of gathering information in preparation for the development of the position papers in Phase III was completed during the first two phases of the project. Four forms developed by project staff were utilized to collect the information. Two fact sheets, a Respondent Fact Sheet and an Office Fact Sheet, were developed to provide basic descriptive data about the project participants and the offices in which they worked. The Respondent Fact Sheet was designed to provide basic demographic and professional experience data on each respondent. The Office Fact Sheet was aimed at describing the type and size of the office in which the respondent was employed. Both of the fact sheets were administered in the first phase of the project.

In addition to the descriptive data provided by the fact sheets, the primary information of concern was collected through two questionnaires. The Phase I Questionnaire--Issue Identification was administered in the first phase of the project and was designed to provide respondents with a forum for identifying the priority issues in probation. The second questionnaire, the Phase II Questionnaire--Strategies for Resolution, administered in Phase II of the project provided first phase respondents with feedback from the first questionnaire to be utilized in formulating strategies to resolve the priority issues designated.

An open-ended format was chosen in developing both of the questionnaires. Open-ended questionnaires were utilized to promote independent and original thinking on the part of the respondents. The open-ended format allows the broadest possible range of responses to emerge and, at the same time, circumvents the problem of biasing responses in preconceived directions. Short of conducting in-depth, open-ended interviews with participants, an approach neither planned nor possible given the limited time and resources of this project, the open-ended mailed questionnaire was determined to best serve the purposes of the project. The questionnaires and fact sheets are presented in Appendix A.

PHASE I - IDENTIFICATION OF CRITICAL ISSUES

In accordance with the project design the identification, by probation practitioners, of the critical issue confronting the field of probation was accomplished in the first phase of the project. Following the selection of participants and the development of project forms to be administered in Phase I a packet of information was mailed to each of the 321 offices and individuals chosen via the various participant selection procedures. The

packets were addressed to the administrator of each office selected because the names of individuals were not available. In the case of persons selected for inclusion in the project by the Advisory Committee the individual was known and the packet was mailed directly to the individual.

Each packet included a Phase I - Issue Identification Questionnaire, and Office Fact Sheet, a Respondent Fact Sheet, and a letter of introduction. The letter of introduction summarized the purpose and design of the project and provided participants with instructions regarding the completion and return of the project forms to the project. In situations in which the desired respondent was to be a line officer rather than an administrator or manager the packet included a letter to the administrator that explained the selection procedure and requested the administrator to choose a line officer to participate in the project.

Phase I Response

The original 321 potential project participants were reduced initially when 5 of the packets were returned to the project with incorrect or insufficient mailing addresses. Efforts were made to obtain correct addresses for the five offices. Correct addresses, however, were not found and the pool of potential participants was reduced to 316.

A due date for the return of the questionnaire and fact sheets was stipulated in the letter of introduction. The due date was set at approximately six weeks from the date of mailing. As of the stipulated date for return of the project forms responses were received from 58 respondents, 18.4 percent of the 316 potential respondents.

The low response rate was cause for concern and prompted the implementation of a follow-up plan to encourage responses from those who had not returned the project forms. A two-pronged follow-up effort was undertaken. First, a letter was sent to each office or person from which a response had not been received encouraging a response and emphasizing the importance of the individual's participation for both the field of probation and the success of the project. In addition, where phone numbers could be located a phone call was made two weeks after the mailing of the follow-up letter to the office administrator or selected individual to encourage a response. Follow-up phone calls were made by the project director, the administrative assistant, and members of the Advisory Committee. As a result of the follow-up efforts the response rate was doubled as an additional 64 persons responded raising the total number of responses in Phase I to 122, 38.6 percent of the 316 potential respondents.

The almost 39 percent response rate was still lower than the original target rate of 50 percent. At this point in time the project was already one month behind schedule, however, and additional follow-up steps would have required a subsequent delay of approximately one month allowing time for both another round of follow-up calls and letters and the return of completed forms. In the interest of time and on the basis of an assumption that those who were inclined to respond had already done so and further encouragement of those not responding would not result in a sufficient number of additional responses to justify the cost, it was decided by the project director, in consultation with the Advisory Committee, to forego further follow-up and proceed with the project.

Analysis of Phase I Questionnaire Responses

In completing the Phase I questionnaire respondents were instructed to list the issues they believed to be the most pressing issues confronting probation at the present time or in the near future. Respondents were asked to rank order the issues they identified from most critical to least critical. A maximum of 10 issues were to be listed and ranked. In addition, respondents were instructed to specify the problems posed for probation that they believed to be associated with each issue enumerated.

Prior to the commencement of Phase I it was anticipated that the number of issues that would be identified by respondents would exceed the number of issues that the respondents could reasonably be expected to deal with in succeeding project phases. Given this expectation a set of criteria were formulated for choosing the issues from Phase I to be considered in subsequent project phases. The criteria established were as follows:

1. A maximum of 10 issues would be selected for consideration in subsequent project phases.
2. At least 25 percent of all respondents had to identify a particular issue for it to be considered in subsequent project phases.
3. If more than 10 issues were identified by at least 25 percent of all respondents, 10 issues would be selected on the basis of a weighted average of the rank assigned to the issue by respondents. The 10 issues with the highest average rankings would be selected for inclusion in subsequent project phases.

With the selection criteria in place a content analysis of the 122 questionnaires returned to the project commenced. In the first stage of the analysis all questionnaire responses were reviewed to provide an exhaustive listing of all issues identified by the respondents. At this point no consideration was given to the priority ranking assigned to each issue.

The first stage of the analysis resulted in the identification of 33 issues from among the responses.

A review of the 33 issues suggested that it might be possible to further refine the list by consolidating two or more very specific issues under one, more generic issue. The questionnaire responses were reviewed again to accomplish this consolidation. After careful consideration the original 33 issues were reduced to 20 unique issues. The consolidation of issues, it should be noted, was done very conservatively. Only when it was clear that either 1) a very specific issue identified was encompassed under another more broadly defined issue identified by respondents, or 2) two or more issues defined using different terminology were determined to be substantively identical were the issues consolidated. The refined list of 20 issues is presented in Table 1.

Having identified 20 issues it was clear that at least the second criterion and, perhaps the third criterion, needed to be applied to reduce the number of issues for further consideration to 10 or fewer. A third review of the questionnaire responses was undertaken in which the response frequency of each of the 20 issues was tallied. At the same time the priority rank assigned to each issue by each respondent who identified the issue was listed in preparation for computing the weighted averages. The response frequency of each of the 20 issues is presented in Table 1 along with the percentage of respondents who identified each issue.

Table 1: Frequency and Percent Distribution of the 20 Issues Identified by Phase I Respondents (N=122)

Issue	Frequency	Percent
Caseload Size	66	54.1
Budget Cutbacks	50	41.0
Community Resources	38	31.1
Salaries, Benefits and Promotions	32	26.2
Community Support	31	25.4
Probation Mission and Goals	31	25.4
Lack of Resources for Training Staff	26	21.3
Lack of Educational and Employment Opportunities for Probationers	21	17.2
Lack of Support for Probation from Other Sectors of Criminal Justice Community	17	13.9
Inadequate Research and Evaluation of Programs, Practices and Procedures	16	13.1
Lack of Training of Management Personnel	14	11.5
Lack of Coordination and Cooperation among Criminal Justice Agencies with respect to Policies, Procedures and Information	12	9.8
Need for Standardization of Procedures and Reduction in Duplicative Paperwork	11	9.0
Need for the Application of Innovative Technology in Probation	9	7.4
Stress and Burn-out Among Employees	7	5.7
Innovative Methods of Generating Revenue	6	4.9
Policies and Procedures for Appropriate use of Volunteers	3	2.5
Locus of Probation Administration	2	1.6
Lack of Confidence in the Effectiveness of Probation	2	1.6
Civil Liability of Probation Employees	2	1.6

An examination of Table 1 reveals that only 6 of the 20 issues were identified by 25 percent or more of the respondents. Consequently, with only 6 of the issues having satisfied the first and second criterion for selecting the issues to be considered in subsequent project phases there was no need to compute the weighted averages specified by the third criterion. The six issues selected for consideration in the second and third phases of the project were: 1) Caseload Size, 2) Budget Cutbacks, 3) Community Resources, 4) Salaries, Benefits and Promotions, 5) Community Support, and 6) Probation Mission and Goals.

A fourth review of the questionnaire responses was conducted focusing on the problems the respondents believed to be related to each of the six issues selected for further consideration. From this review a summary statement of related problems was prepared for each of the six issues. The summaries of related problems were prepared for use in the next phase of the project.

Characteristics of Phase I Respondents

In Table 2 and Table 3, respectively, the characteristics of the Phase I respondents and the offices in which they were employed are presented. Looking first at Table 2 we find that as a group the Phase I respondents were predominantly white (88.5 percent), males (80.3 percent) with at least a four year college degree (86.9 percent). They ranged in age from 24 to 65 with 73.9 percent of the respondents less than 46 years old. With respect to probation related job experience, over 75 percent of the respondents had been working in probation for at least 6 years. The group as a whole was almost evenly divided between administrators/managers (51.6 percent) and

Table 2: Frequency and Percent Distribution of the Characteristics of Phase I Respondents (N=122)

	Frequency	Percent ^a
Age:		
24-30	21	17.3
31-35	30	24.6
36-40	23	18.9
41-45	16	13.1
46-50	11	9.0
51-65	19	15.6
Unknown	2	1.6
Sex:		
Male	98	80.3
Female	24	19.7
Ethnicity/Race:		
White	108	88.5
Black	5	4.1
Other	7	5.8
Unknown	2	1.6
Education:		
High School Graduate	4	3.3
Associate Degree	5	4.1
Bachelor Degree	54	44.3
Graduate Degree	52	42.6
Other	2	1.6
Unknown	5	4.1
Number of Years Doing Probation Work:		
Less than 6	29	23.8
6-10	43	35.2
11-20	35	28.7
21 or more	14	11.5
Unknown	1	.8
Number of Years in Current Position:		
Less than 1	4	3.3
1- 5	74	60.7
6-10	33	27.0
11 or more	10	8.2
Unknown	1	.8
Current Position:		
Administrator/Manager	63	51.6
Line Officer	59	48.4

^aPercentages may not sum to 100.0 due to rounding.

line officers (48.4 percent) with less than 4 percent holding their positions for less than a year while 35.2 percent had been in their positions for 6 or more years. Data with respect to length of time in field and facility positions collected on the Respondent Fact Sheet are not presented. These items apparently were not clearly understood by the respondents as indicated by comments on the returned questionnaires. It was, therefore, decided that rather than present data of questionable validity these data would not be presented.

Turning our attention to Table 3 we find that two-thirds of the respondents were employed in a main office of the agency. Approximately half of the offices received their primary funding from state coffers while about 40 percent were funded by county or municipal governments. Approximately 80 percent of the offices had jurisdiction over adult probation and half of the offices had jurisdiction over juvenile probation. Slightly more than a third (35.2 percent) of the offices had 10 or fewer full or part-time employees. Six of the offices provided administrative services to probation and had no supervisory responsibilities. Of the remaining offices with supervisory responsibilities for which the number of offenders under supervision were known about half had less than 1,000 offenders under supervision in 1980. With respect to the geographic location of the offices, responses were received from employees of offices located in 37 of the 50 states with more than a fourth (27.8 percent) of the responses received coming from offices located in Illinois, New York and Texas. The two items on the Office Fact Sheet regarding the number of presentence investigations assigned are not reported due to a large proportion of missing values and concerns regarding the reliability of the information reported.

Table 3: Frequency and Percent Distribution of the Characteristics of the Offices in which Phase I Respondents were Employed (N=122)

	Frequency	Percent
Office Type:		
Branch	30	24.6
Main	82	67.2
Other	8	6.6
Unknown	2	1.6
Primary Funding Source:		
Federal	8	6.6
State	60	49.2
County/Municipal	48	39.3
Other	3	2.5
Unknown	3	2.5
Office Jurisdiction:		
Adult Probation	32	26.2
Juvenile Probation	19	15.6
Adult and Juvenile Probation	31	25.4
Adult Probation and Parole	25	20.5
Juvenile Probation and Parole	3	2.5
Adult Probation and Parole and Juvenile Probation and Parole	9	7.4
Other	1	.8
Unknown	2	1.6
Number of Employees in the Office:		
1- 10	43	35.2
11- 20	20	16.4
21- 50	22	18.0
51-100	18	14.8
101 or more	17	13.9
Unknown	2	1.6
Number of Offenders Under Supervision in the Office in 1980:		
1- 99	6	4.9
100- 199	10	8.2
200- 499	19	15.6
500- 999	20	16.4
1,000-4,999	39	32.0
5,000-9,999	9	7.4
10,000 or more	6	4.9
Not a Supervisory Office	6	4.9
Unknown	7	5.7
Number of Offenders Under Supervision in the Office on 10/1/81:		
1- 50	4	3.3
51- 99	3	2.5
100- 199	12	9.8
200- 499	30	24.6
500- 999	13	10.7
1,000-4,999	35	28.7
5,000 or more	10	8.2
Not a Supervisory Office	6	4.9
Unknown	9	7.4

Table 3: (Continued)

	Frequency	Percent
State in which Office is Located:		
Alabama	1	.8
Arizona	5	4.1
California	5	4.1
Colorado	2	1.6
Connecticut	1	.8
Florida	2	1.6
Georgia	3	2.5
Hawaii	2	1.6
Illinois	11	9.0
Indiana	1	.8
Iowa	4	3.3
Kansas	2	1.6
Kentucky	2	1.6
Louisiana	1	.8
Maryland	1	.8
Massachusetts	2	1.6
Michigan	4	3.3
Minnesota	4	3.3
Missouri	4	3.3
Nebraska	3	2.5
Nevada	1	.8
New Hampshire	1	.8
New Jersey	5	4.1
New Mexico	1	.8
New York	12	9.8
North Carolina	1	.8
Ohio	3	2.5
Oklahoma	1	.8
Oregon	4	3.3
Pennsylvania	8	6.6
South Carolina	2	1.6
Tennessee	1	.8
Texas	11	9.0
Virginia	1	.8
Washington	4	3.3
West Virginia	3	2.5
Wisconsin	3	2.5

^aPercentages may not sum to 100.0 due to rounding.

PHASE II - IDENTIFICATION OF STRATEGIES FOR ISSUE RESOLUTION

In the second phase of the project respondents were charged with the responsibility of identifying and formulating strategies for resolving the six issues selected in Phase I. Phase II questionnaires were sent to the 122 Phase I respondents. The second questionnaire provided respondents with a listing of the six issues selected in Phase I, the response frequency of each issue, and a summary of the problems related to each issue specified by respondents to the first questionnaire.

Persons receiving the second questionnaire were instructed to consider each issue and the related problems and suggest approaches that they believed would be both desirable and effective in resolving each of the six issues. Respondents were encouraged to draw on both their experience and imagination in proposing solutions. In addition, respondents were requested to provide source documents or reference citations, when possible, for any strategies they suggested that had been effectively employed in resolving analogous issues in criminal justice or other fields.

Phase II Response

Phase II questionnaires sent to respondents were accompanied by a cover letter thanking the respondents for their cooperation in Phase I, encouraging respondents to continue to participate in Phase II, and requesting Phase II questionnaires be completed and returned to the project by a specific date. The return date stipulated was set approximately five weeks from the date of mailing.

Three weeks after the questionnaires were mailed persons from whom a completed questionnaire had not yet been received were sent a follow-up letter requesting the questionnaire be completed and returned to the project immediately. At the same time these individuals received a phone call from project staff or Advisory Committee members encouraging a response to the second questionnaire. Follow-up efforts were commenced at this time rather than after the return date had past to avoid further delays in the project.

Phase II questionnaires were received from 89 (73.0 percent) of the 122 Phase I respondents. In addition to completing and returning the questionnaire, approximately half of the respondents returned the types of reference materials requested. Reference materials sent to the project included citations to and/or copies of journal articles, agency reports, research reports, and policy and procedure manuals as well as names and addresses of individuals to be contacted for information regarding specific strategies suggested.

Analysis of Phase II Questionnaire Responses

The analysis of Phase II questionnaire responses proceeded in much the same way as did the analysis of responses to the first questionnaire. The 89 questionnaires returned to the project were reviewed several times to isolate the various ameliorative strategies proposed. The first pass through the responses was focused on identifying the universe of strategies for resolving each issue and compiling a list of citations and resource documents suggested as being applicable in addressing a particular issue. A second review of the responses was performed to consolidate proposed strategies using the same guidelines that were applied in consolidating

issues in Phase I. The third review of the responses was aimed at integrating the strategies suggested in the questionnaires with the information provided in the resource documents cited and sent to the project.

From the review of Phase II questionnaire responses and resource documents a detailed summary of strategies proposed for issue resolution was prepared for each of the six issues. These summaries of proposed strategies were used in conjunction with summary statements of the six issues and related problems prepared in Phase I to develop a set of six working papers.

Development of the Working Papers

The final stage of Phase II of the project was devoted to the development of six working papers - one paper for each of the six issues selected from Phase I. Each working paper drafted included a statement of the issue and the problems associated with the issue and a review of the proposed strategies for issue resolution. The working papers were prepared by the project director to be utilized in Phase III of the project. The intent behind the development of the working papers was to provide participants at the Phase III conference with a detailed and integrated summary of the information gathered through the Phase I and II questionnaires to be used as background information in preparation for formulating position papers regarding each of the six issues.

A summary of the strategies for issue resolution contained in each working paper is presented below. The complete working papers are presented in Appendix B.

Working Paper #1: Caseload Size:

One set of approaches suggested was aimed at improving the management of caseloads rather than reducing the absolute number of cases in an agency's caseload. Included among these suggestions were hiring additional probation officers, increased use of para-professionals, interns, and volunteers, introducing case classification procedures to evenly distribute the agency's workload among staff, increased use of functional specialization and implementation of the team probation concept.

Two of the strategies proposed were aimed at reducing the size of the agency's caseload. One approach advocated the passage of legislation limiting the size of an individual probation officer's caseload forcing the hiring of additional staff or prohibiting judges from ordering probation when maximum caseloads are reached. A more radical suggestion proposed redefining the concept of probation to focus on community protection with the service delivery role currently assumed by probation being assumed by other public and private service agencies.

Additionally it was suggested that guidelines be developed governing the types of offenders for whom probation is an appropriate sanction to eliminate from probation's charges those cases that are too serious and too trivial to warrant a probation sentence. Other suggested strategies included introducing participatory management schemes to involve staff in decision-making and acquiring labor saving devices and streamlining and standardizing procedures and reports.

Working Paper #2: Budget Cutbacks:

Two types of strategies were proposed to deal with budget cutbacks - those aimed at more efficient deployment of monies and those aimed at acquiring additional funds.

More efficient use of appropriated monies could be accomplished, it was suggested, through more frequent and sophisticated long and short-term planning, reconsideration of the probation function to eliminate non-essential tasks and services and establish priorities, increased use of volunteers, cross-training of staff, and introducing innovative compensation schemes and modified work schedules.

Revenue raising approaches included introducing various fees to be paid by probationers, earmarking a designated portion of local tax money on specific items to be used by probation for special programs, passage of legislation to provide state subsidies to probation, and pursuing state, federal and private grant monies.

Working Paper #3: Community Resources:

Strategies suggested to address the problems associated with community resources included the compilation and frequent updating of a directory of available services, reduction in the amount of duplication of services within the community and the development of needed but non-existent services, implementation of a coordinating council to monitor, coordinate, and expand services, and the development of in-house specialists to broker services and/or provide needed services not available in the community.

To cover the costs of services provided respondents suggested introducing various user fees, dedicated tax revenues, shifting the burden of paying for services to other branches of the criminal justice system, seeking funds from local businesses and corporations, and seeking insurance reimbursement where possible.

Working Paper #4: Salaries, Benefits and Promotions:

Approaches for improving salaries, benefits and promotional opportunities include development of a strong national leadership to promote probation, and increasing job satisfaction through job enrichment and involvement in decision-making. Additionally it was suggested that innovative compensation schemes, flexible work schedules, and increased leave time might be considered in lieu of financial rewards. Where financial rewards are preferred and money is not available it was suggested that fees be charged clients to defray costs. Promotional opportunities, it was suggested, could be improved through incentives for early retirement by hiring within the agency for all positions above entry level, and by creating new job titles.

Working Paper #5: Community Support:

Strategies proposed to address the issue of community support were uniformly aimed at educating the public about probation and involving the public in probation. Suggestions for educating the public included regular press releases about the agency, forming a speakers bureau to address the public, and staging special events to involve and inform the public about probation. Community involvement approaches included forming community advisory boards and expanding volunteer programs.

Working Paper #6: Probation Mission and Goals:

Two specific strategies were suggested for formulating a mission and goals for probation. One approach calls for a Presidential task force to be formed to formulate and disseminate

the mission and goals. The second approach calls for the responsibility for formulating and disseminating the mission and goals to be assumed by a recognized, national, professional organization of probation professionals.

PHASE III - FORMULATION OF POSITION PAPERS

In the third and final project phase attention was focused on the formulation of position papers. A position paper was prepared with respect to each of the six issues considered in Phase II. The position papers were developed by a select group of respondents at a four day, project sponsored, conference. Each position paper outlined the preferences of the group which formulated the paper with respect to the goals, objectives and strategies to be employed in addressing each of the six issues.

Selection of Conference Participants

Persons chosen to be invited to participate in the conference were selected from among the 89 individuals who responded to both the first and second questionnaires. The selection process was conducted in two stages. In each stage responses to the first and second questionnaires were reviewed independently by the project director and one of the conference facilitators. After each independent review of the questionnaires the director and facilitator met to compare the results of their review and resolve any differences with respect to persons to be invited to participate. The goal of the selection process was to identify a total of 33 persons as potential conference participants - 30 persons to be invited to the conference and 3 persons to be selected as alternates in the event that some of the 30 persons invited would be unable to attend.

In the first stage of the selection process the objective was to identify, from among the 89 questionnaire respondents, those persons whose responses best captured the variety of ideas expressed by the Phase I and II respondents. The primary selection criteria employed in this stage of the process was the quality of responses. Response quality was operationally defined as follows:

1. Responses related to one or more of the issues under consideration were representative of, or consistent with, the ideas reflected in the working papers.
2. Responses related to one or more of the issues demonstrated a clear understanding of the issue, related problems, and strategies reflected in the working papers.
3. Responses related to one or more of the issues demonstrated independent and innovative ideas for resolving an issue and/or a knowledge of the relevant literature and/or practical application of ameliorative strategies reflected in the working papers.

The working papers were used as the standard for assessing response quality. The working papers were written to summarize the responses to the first and second questionnaires and thus provided the basic information necessary for the assessment of response quality as operationally defined.

After a comparison and discussion of the persons selected via the independent reviews a total of 42 persons were identified as potential persons to be invited to the conference. These 42 persons were believed to satisfy the criteria established and adequately represent in aggregate the ideas expressed by Phase I and II respondents with respect to each of the six issues.

Having narrowed the field of potential participants to 42 the second stage of the selection process was aimed at choosing 33 persons to be invited and serve as alternates. To further narrow the field to the

desired number the questionnaire responses and fact sheet data were reviewed. In this stage of the selection process the emphasis was on achieving a reasonable balance of administrators/managers and line personnel, geographic locations, and agency size among the conference participants. Consideration of these characteristics in selecting potential participants was tempered only by an overriding concern to maintain adequate representation of quality responses with regard to each of the six issues. This was necessary to insure that a sufficient number of persons providing quality responses with regard to each issue was available to form the conference issue groups to be discussed later.

Following the independent review of questionnaire responses and fact sheets the lists of participants were discussed and 30 participants and 3 alternates were selected. It is interesting to note that the two independent reviewers differed in their selections on only 4 of the people to be included among the final group of 33. Three of these four negotiated selections were chosen as the alternates.

Having chosen 30 participants and 3 alternates a letter was drafted and sent to each of the 30 prospective participants. In addition to inviting the individuals to participate in the conference, the letter outlined the purpose of the conference, the conference format and arrangements, and requested a response to the invitation within three weeks of the date of mailing. Each person not responding by the stipulated date received a phone call in which a decision regarding participation was requested. Only one of the people invited declined to attend the conference and that position was filled by one of the alternates.

Characteristics of Conference Participants

Several days prior to the conference three of the people who had accepted invitations to the conference notified the project that they would be unable to attend. It was too late at that time to substitute alternates thus the number of conference participants was reduced to 27.

The characteristics of the 27 conference participants are displayed in Table 4. As we can see from the data presented the conference participants were very similar to the Phase I respondents. Over 75 percent of the participants were under 46 years of age. Conference participants were predominantly white (92.6 percent), males (70.4 percent) with almost 90 percent of the participants having a four year college degree. Slightly more than 70 percent of the participants had more than five years experience in probation while slightly less than 30 percent held their current positions for less than six years. Among the conference participants were 15 administrators/managers (55.6 percent) and 12 line officers (44.4 percent).

Office characteristics of the conference participants are presented in Table 5. Approximately half (51.9 percent) of the conference participants worked in the main office of the agency in which they were employed. State revenues provided the primary funding for 55.6 percent of offices. Less than half (48.1 percent) of the offices had jurisdiction over juveniles while 81.4 percent of the offices had jurisdiction over adults. With respect to office size, two-thirds of the offices employed 50 or fewer people on a full or part-time basis. Only one of the conference participants was employed by an agency having no offender supervisory responsibilities. Of the remaining offices only two offices had fewer than 200 offenders under supervision in 1980. Finally, the 27 conference participants were from offices located in 19 states.

Table 4: Frequency and Percent Distribution of the Characteristics of Conference Participants (N=27)

	Frequency	Percent ^a
Age:		
24-30	6	22.2
31-35	6	22.2
36-40	3	11.1
41-45	6	22.2
46-50	2	7.4
51-65	3	11.1
Unknown	1	3.7
Sex:		
Male	19	70.4
Female	8	29.6
Ethnicity/Race:		
White	25	92.6
Black	0	0.0
Other	2	7.4
Education:		
Associate Degree	1	3.7
Bachelor Degree	10	37.0
Graduate Degree	14	51.9
Unknown	2	7.4
Number of Years Doing Probation Work:		
Less than 6	8	29.6
6-10	7	25.9
11-20	8	29.6
21 or more	4	14.8
Number of Years in Current Position:		
1- 5	19	70.4
6-10	6	22.2
11 or more	2	7.4
Current Position:		
Administrator/Manager	15	55.6
Line Officer	12	44.4

^aPercentages may not sum to 100.0 due to rounding.

Table 3: Frequency and Percent Distribution of the Characteristics of the Offices in which Conference Participants were Employed (N=27)

	Frequency	Percent ^a
Office Type:		
Branch	11	40.7
Main	14	51.9
Other	2	7.4
Primary Funding Source:		
Federal	2	7.4
State	15	55.6
County/Municipal	9	33.3
Other	1	3.7
Office Jurisdiction:		
Adult Probation	6	22.2
Juvenile Probation	3	11.1
Adult and Juvenile Probation	3	11.1
Adult Probation and Parole	8	29.6
Juvenile Probation and Parole	2	7.4
Adult Probation and Parole and Juvenile Probation and Parole	5	18.5
Number of Employees in the Office:		
1- 10	5	18.5
11- 20	10	37.0
21- 50	3	11.1
51-100	5	18.5
101 or more	4	14.8
Number of Offenders Under Supervision in the Office in 1980:		
1- 99	1	3.7
100- 199	1	3.7
200- 499	7	25.9
500- 999	5	18.5
1,000- 4,999	10	37.0
5,000- 9,999	1	3.7
10,000-19,999	1	3.7
Not a supervisory office	1	3.7
Number of Offenders Under Supervision in the Office on 10/1/81:		
1- 50	1	3.7
51- 99	0	0.0
100- 199	2	7.4
200- 499	10	37.0
500- 999	1	3.7
1,000-4,999	11	40.7
5,000-9,999	1	3.7
Not a supervisory office	1	3.7
State in Which Office is Located:		
Alabama	1	3.7
Arizona	1	3.7
California	1	3.7
Colorado	1	3.7
Florida	1	3.7
Hawaii	1	3.7
Illinois	1	3.7
Iowa	1	3.7
Kentucky	1	3.7
Minnesota	2	7.4
Missouri	1	3.7
New York	3	11.1
North Carolina	1	3.7
Ohio	1	3.7
Oregon	2	7.4
Pennsylvania	2	7.4
Texas	1	3.7
Washington	3	11.1
Wisconsin	2	7.4

^aPercentages may not sum to 100.0 due to rounding.

Issue Group Assignments

Once the persons invited to participate in the conference confirmed that they would attend they were each assigned to two of six issue groups. Each issue group was formed to consider one of the six issues selected from Phase I. Eight to ten conference participants were assigned to each issue group.

Assignments to issue groups were made by the project director and one of the facilitators using the same procedures employed in selecting the participants. Questionnaire responses were reviewed independently by the director and the facilitator and preliminary group assignments were made. The two lists of assignments were then compared and differences in assignments were negotiated to arrive at the final issue group assignment list used at the conference.

Response quality was once again the primary criterion employed in making the issue group assignments. The objective to be met in forming the issue groups was to select for each group the people whose responses best captured the diversity of opinion expressed by respondents to the Phase II questionnaire regarding strategies to resolve each of the six issues. With this objective in mind the questionnaire responses were reviewed, preliminary assignments were made, and differences in the preliminary assignments were resolved through negotiation. This process resulted in the formation of six issue groups with eight to ten participants in each group.

Conference Preparations and Staffing

Six weeks prior to the conference each of the participants received an orientation packet from the project. The packet was accompanied by a letter outlining the objectives of the conference, the conference format,

the content of the position papers to be formulated, the basis for the issue group assignments, and the purpose of the working papers. Each packet included a list of conference participants, a conference agenda, a list of issue group assignments, the six working papers, and a list of reference materials suggested by questionnaire respondents as being relevant to the issues under consideration. Conference participants were instructed to read the working papers to familiarize themselves with the issues, related problems, and proposed strategies for issue resolution and to begin thinking about and investigating various approaches to resolving the issue to which they were assigned.

All arrangements for the conference were made by one of the project facilitators acting as conference planner. The conference planner arranged all travel, lodging, meal and meeting accommodations for all conference participants and staff. Two weeks prior to the conference each participant received from the project an airline ticket and itinerary and confirmation of lodging accommodations.

Conference staff consisted of three facilitators, two part-time secretaries, the project director and one member of the project Advisory Committee. Each of the facilitators was assigned to work with two issue groups. The facilitators were responsible for giving preliminary instructions to each issue group, insuring that the issue group had the necessary supplies, and insuring that the issue groups completed designated tasks within the time allotted for each task. The secretaries were responsible for typing notes and draft outlines for each issue group at the end of each session. The project director and Advisory Committee member acted as observers, and assisted the facilitators in acquiring

supplies and coordinating typing. The project director and facilitators were also available to answer questions relating to procedures and logistics but refrained from responding to substantive questions that might influence the content of the position papers.

Conference Format

The conference was convened on a Sunday evening and ended at noon on the following Thursday. On Sunday evening an informal orientation session was held to provide an opportunity for conference participants and staff to meet. On Monday morning, following a brief introduction by the project director, the first set of three issue groups met to discuss the issues they were assigned and begin drafting the outlines for the position papers. These three groups met all day and into the evening on Monday and again briefly on Tuesday. At the end of the Tuesday session a rough draft of the outlines for the position papers was completed and sent out for typing.

The second set of three issue groups convened meetings on Tuesday morning. These groups worked together all day Tuesday, Tuesday evening and on Wednesday morning. Again rough drafts were completed and sent to be typed.

On Wednesday afternoon two sessions of two hours each were scheduled for reviewing and editing the typed drafts of the position paper outlines. In the first two hour session the first set of three issue groups met to make revisions. The second two hour session was devoted to revising the outlines prepared by the second set of issue groups. Following these sessions the final drafts of the outlines were typed and disseminated to conference participants. At a general review session on Thursday

morning the spokesperson from each issue group presented the final drafts of the outlines to the conference participants and staff.

Formulation of Position Papers

As indicated in the description of the conference format the conference activities with regard to the formulation of the position papers ended with the completion of position paper outlines. Ideally, the conference should have culminated with the completion of final drafts of the narrative versions of the position papers. This, of course, would have required the conference to be held over a longer period of time. Given the financial constraints of the project, and more important, the time constraints of the project and a concern for the amount of time the conference participants could be away from their offices and responsibilities, lengthening the conference to allow for the completion of narrative versions of the position papers was determined to be impractical.

An alternative approach to drafting the position papers was implemented that called for the issue groups to prepare detailed position paper outlines from which the project director would draft the narrative versions of the position papers. Cognizant of the fact that by relying solely on the outlines to draft the narrative versions of the position papers the project director might misconstrue the intentions of the issue group a variety of precautions were taken to provide the director with a complete and accurate account of what transpired in each issue group.

Each of the working sessions of the issue groups were tape recorded providing a comprehensive account of the groups' discussions and decisions. The tapes were labeled to indicate the sequencing of the tapes and the topics discussed by the groups. In addition, facilitators made notes

indicating the approximate location on the tapes of critical discussions they believed to be of particular value in drafting the position papers. A total of 70 hours of recording tape was required to record all sessions.

In addition, each group selected from among the group members a person to act as recorder. The recorder took detailed notes of all sessions and was responsible for preparing the various drafts of the position paper outlines. The recorders' notes and draft outlines were available to the director. These notes and outlines were supplemented by working notes of the groups recorded by the facilitators on newsprint flip charts.

Moreover, throughout the conference progress toward the completion of the position paper outlines was guided by a general topic outline prepared by the director and facilitators prior to the conference. The outline included topics to be discussed and included in the position papers such as a statement of the issue and related problems, goals, objectives, strategies for issue resolution, and implementation plans as well as time estimates for accomplishing each of the various tasks. This topic outline provided both the project staff and conference participants with a check list of topics that was reviewed periodically to insure that the issue groups provided the director with all of the essential information to draft the position papers. In addition, the time estimates provided a benchmark against which the groups and staff could assess progress toward the completion of tasks and make decisions regarding the most effective use of available time. The time estimates provided by the outline allowed approximately 10 hours for each group to complete the position paper outlines. In fact the issue groups devoted approximately 12 to 16 hours to the preparation of the outlines over the course of the project.

Over a six week period following the conference the position papers were drafted utilizing the notes and recordings from the conference.* Following completion of the first draft of the papers they were reviewed by the facilitators and revised. A second draft was reviewed by the Advisory Committee resulting in minor stylistic revisions. The third draft of the papers was sent to the conference participants who in turn reviewed the papers and submitted their comments to the director. The comments were incorporated in the papers resulting in the final revision of the six papers.

Comments

A critical analysis of the position papers is not offered in this report. Such an analysis is left to the reader. Prior to reviewing the papers, however, the following comments are provided to give the reader some background information believed to be essential to a review of the papers.

In reviewing the position papers it should be noted that participants in two of the issue groups chose to reformulate the issues they were assigned to consider. Reformulation of the two issues resulted in broadening the scope of the issues. The issue of caseload size was expanded to deal with the management of workload in general and the issue of salaries, benefits, and promotions was reformulated to focus on, what the issue group members considered to be a more inclusive form of the issue, namely, the professionalization of probation. The issue group assigned to consider strategies for developing mission and goals, moreover, rejected the notion

* Position Paper #6 Probation Mission and Goals was drafted by Richard Ely, the facilitator for that group. All other position papers were drafted by the project director.

of preparing a plan for developing a mission and goals and instead, drafted a statement of mission and goals for probation.

In drafting the position papers the conference participants were confronted with the problem of formulating proposals that would be both general enough to have broad application for the field and specific enough to provide meaningful solutions to the problems identified. To strike such a balance the issue groups had to be aware of the wide variations that characterize the field of probation across the country, while at the same time, they had to avoid becoming so mired in the detail that they lost sight of the broader perspective necessary to the formulation of proposals with broad application. The process of maintaining this delicate balance was kept in check by the members of each issue group. Each issue group was comprised of individuals whose backgrounds and experiences, to varying degrees, mirrored the variations that characterize the field of probation. Consequently, the individuals in each group brought with them different perspectives based on their experiences and organizational affiliations that served as a check on the group with respect to striking the desired balance. The extent to which the issue groups were successful in accomplishing this is, in the final analysis, open to debate.

It should be understood, however, that both at the conference and during the review of the position paper drafts conference participants were provided the opportunity to draft minority positions to be included in this report. This was done to accomodate members of the various issue groups who might have had serious reservations regarding the

consensus reached by the majority of the issue group members expressed in the position papers. None of the conference participants availed themselves of this opportunity.

Additionally, the reader should be cognizant of the fact that each of the position papers was drafted to stand on its own independent of the other five. Each of the issues was considered in relative isolation from the other five and each position paper was drafted without concern for consistency across the six papers with respect to policy and procedural recommendations. Consequently the six position papers should not be considered as a unified, integrated package of proposals but rather each of the papers should be reviewed individually and the merits of each one assessed independently.

The reader should be aware, moreover, that the position papers are not offered as the definitive statement with regard to resolving the issues considered. The position papers should be viewed as an initial step by probation practitioners to address and resolve issues confronting the field. The approaches for resolving the issues presented in the position papers were, of course, supported by the members of the issue groups who drafted the papers. The conference participants, in general, however, were clearly much less concerned that the positions they adopted would be adopted and implemented by probation agencies across the country and more concerned that the position papers would serve as a catalyst for probation practitioners to continue the effort to resolve issues confronting the field of probation begun through the project.

The six position papers are presented in their entirety in the following pages.

POSITION PAPER #1
WORKLOAD MANAGEMENT

Statement of the Issue

In recent years the demands placed on probation agencies have grown significantly. Agency workloads have grown at unprecedented rates, requests for presentence investigations have risen and the demands for probation services both pre-trial and post-sentence have increased. While the demand for probation services has grown resources necessary to meet the demand have not been forthcoming. Consequently, probation agencies have found it increasingly difficult to meet the growing demands for services utilizing traditional service delivery approaches.

Proposal for Issue Resolution

Goal: To develop management approaches and techniques that will allow for the effective and efficient delivery of services* consistent with the goals of probation.

Objective 1: To establish an evaluative process of the agency's delivery of services.

The first step in developing management approaches to meet more effectively and efficiently demands for services is to identify the problems with existing service delivery approaches. To accomplish this probation agencies should develop and implement an evaluation process to systematically assess agency operations. Initially, it is recommended that an evaluation of agency policies and procedures be conducted by an outside evaluator to provide a fresh perspective with which to view the agency, an objective assessment of practices, and assistance in developing and implementing a systematic, on-going evaluation process in-house. Additionally, it is recommended that probation agencies seek accreditation from national, state and/or regional accreditation committees. Meeting the criteria for accreditation will insure the agency that agency operations meet the minimum standards established for the field. In addition, periodic review of agency procedures required to maintain accreditation will provide feedback to the agency from an outside source on a regular basis and assist the agency in identifying problem areas in need of attention.

In-house the evaluative process should be an ongoing one aimed at monitoring the changes in service demands and identifying policies and procedures that have not produced the intended results. Agency policies and procedures should be subjected to routine evaluations as well as special evaluations as the need arises to determine the extent to which actual practices are reflected in written policies and procedures. On the basis

*The phrase "delivery of services" is used throughout this paper to refer to all tasks performed by probation (e.g., investigations, counseling, reports, etc.) for all of its various clients (e.g., offenders, court, community, etc.).

of the information obtained from these evaluations strategies can be developed to address the problem areas identified and new policies and procedures can be developed and implemented to resolve existing problems. Because probation agencies operate within a dynamic system that is constantly changing it is important that evaluations be conducted at regular and frequent intervals and that the evaluative process be modified, as needed to be sensitive to emerging trends.

Objective 2: To establish a system of quantifying agency workload.

Management of an agency's workload can be facilitated through the use of a system in which the tasks performed by the agency personnel are assigned values based on the difficulty of the task and the time required to complete the task. Often these systems are operationalized through the development of a matrix that is easily comprehended and utilized by line, staff, and management personnel. Such a system can prove to be invaluable to managers in assessing the amount of work to be done and the time needed for completion, information critical to making decisions regarding allocating personnel and other resources. Additionally, such a system provides management with a tool for equitably distributing work among personnel. Moreover, the system can be developed such that values assigned to tasks account not only for the difficulty of and time required to complete the task but also the level of priority of the task relative to other tasks. Priority assessments of this type assists management in making decisions regarding what tasks to do first in the event that the agency workload requires that such choices be made.

Objective 3: To improve staff productivity.

In the face of decreasing availability of resources and increasing service demands a key issue for management is to find ways to maximize the productivity of all probation personnel. Training and feedback are the cornerstones of developing more productive employees. To accomplish more work with less personnel managers must be committed to training personnel in the utilization and management of time. Time management studies and training programs have been used in private business and industry to improve productivity. Probation agencies should reap the benefits of this experience and begin to borrow from business in this regard. Similarly, personnel must learn to manage their caseloads more effectively to produce acceptable results with less time and effort. Caseload management training should be provided for all appropriate personnel. Such training could be combined with time management training programs to reduce costs and save time.

In addition to training personnel to manage time and tasks, management must be committed to providing personnel with routine periodic performance evaluations and feedback of the results of such evaluations. Performance evaluations should be aimed at assessing the extent to which time and task management skills are being employed effectively in the performance of daily activities. Management feedback should be directed at helping personnel to apply the skills learned in the management of time and tasks to more effectively deliver services.

Improving productivity can also be facilitated through the involvement of personnel in programs designed for professional enrichment. Management should support such programs and encourage or require personnel to participate in such programs.

Productivity can be improved as well by streamlining procedures, forms, and reports. Streamlining and standardization of reports, forms and procedures to eliminate non-essential information and tasks can significantly reduce time and labor spent in investigations and preparation of reports. Time savings of this nature can be used to provide more time for other tasks.

Objective 4: To promote the development of functional specialization within probation agencies.

Functional specialization can result in more efficient and effective agency operations and service delivery. Through the development of functional specialists services to be provided can be tailored to meet the needs of the agency and clients. Having specialists in-house capable of providing some of the needed services can substantially reduce the time required to locate services in the community and arrange placements for clients. Costs associated with service provision through outside sources may also be substantially reduced if services are provided in-house.

The extent to which functional specialization can be utilized to the benefit of the agency depends, of course, to a large degree on the size of the agency and the availability of services in the community. Smaller agencies with fewer personnel will find it more difficult to develop specializations than large agencies. Specialization may not be possible at all in very small agencies. Where personnel are available and the demand for services is great, however, functional specialization should be pursued.

Developing functional specializations requires the commitment of the agency administration to training specialists and tailoring the training to the needs of the agency. Moreover, in order to realize time and cost savings caution should be exercised in developing specializations to insure that specializations be developed only in those areas in which the demand for services is sufficient to justify, on a cost-benefit basis, supporting particular specialities in-house. Some suggested areas of specializations include alcohol and drug counseling, employment counseling and presentence investigations.

Objective 5: To establish a caseload management system to be employed by line staff.

Just as at the agency level more effective management techniques are needed to handle increasing demands, at the level of the line personnel management skills are needed to more effectively handle individual caseloads. Implementing a case classification system based on assessments of risk to the community and client needs can be used to set guidelines for staff in

determining the amount of time to be devoted to each case. Those cases with high risk and/or need levels would require more time than those with lower risk and/or need levels. In addition to setting guidelines for the amount of time and resources to be devoted to each case increased use or development of case management techniques such as early termination of low risk offenders, periodic reclassification of cases based on subsequent assessments of needs and risk, modification of conditions and administrative caseloads requiring only minimal supervision can reduce the amount of time and resources traditionally devoted to each case. Assistance for line personnel can be provided through the expansion of volunteer and intern programs as well, provided volunteers and interns are given tasks to perform that are normally carried out by line personnel.

POSITION PAPER #2
BUDGET CUTBACKS

Statement of the Issue

The economic problems being experienced nationwide have adversely affected probation. Financial constraints have placed serious limits on the probation system's ability to deliver services. In recent years, reductions in budgetary allocations have resulted in loss of personnel, reduction and/or elimination of in-house support units and programs, reduction in community resources providing collateral services, and increased frustration and morale problems among probation personnel. Further aggravating the problem is the fact that these financial constraints have come at a time when probation caseloads are increasing dramatically and programmatic alternatives are needed to deal with the influx of cases.

Proposal for Issue Resolution

Goal: To secure the resources necessary to provide for the effective and efficient delivery of probation services.

In the face of limited financial resources coupled with an increasing demand for probation services probation must assume an aggressive posture in seeking ways to finance the probation system. Efforts to obtain adequate financial resources must be aimed at both securing a reliable source of funding and more effective and efficient methods of utilizing available financial and other resources.

Objective 1: To take a proactive stance in securing a reliable funding base.

A primary objective of securing funding is to obtain for probation a proportionate share of the funds appropriated for criminal justice agencies such that probation keeps pace with the growth in expenditures for the police, the courts and corrections. Initial activities aimed at securing funding should be focused on those persons controlling the funds, namely, the legislators and the public. Probation administrators and personnel should become actively involved in the legislative process to the degree legally permissible. Cultivating a relationship with appropriate elected and appointed officials, especially those involved in the budget process, should be a priority for probation. In addition probation should take the initiative in educating officials and promoting probation legislation by providing testimony at hearings, developing and disseminating information packets aimed at a general orientation to probation as well as preparing position papers on issues of particular interest to probation. Lobbying efforts must be intensified and well coordinated. Professional associations, probation administrators and personnel, and community supporters should be encouraged to lobby for adequate probation funding perhaps under the guidance of a professional legislative analyst or consultant where necessary.

The public must be the focus of lobbying efforts as well. Strong public support will increase the probability of adequate funds being allocated to probation. To enlist such support probation administrators and personnel must focus on educating the public regarding the successes and benefits of probation. This can be done through speaking engagements, releasing information to the media, involving citizens in the probation process and developing special programs aimed at assisting victims, witnesses and the community.

It is recommended that to secure reliable funding probation work with appropriate elected and appointed officials to develop a formula for determining staffing support needs and the level of funding necessary to provide for these needs. Such a formula would eliminate much of the quibbling that now takes place regarding the most accurate and appropriate means for determining resource needs. The formula should be derived through research procedures agreed upon by both probation and the appropriate officials and the resulting formula should have the endorsement of both probation and the appropriate officials.

Funding reliability can also be improved by engaging in continuous long terms planning aimed at identifying future needs and resources to meet such needs. Probation should support data collection and analysis efforts necessary for such forecasting. Long term planning efforts should be focused on two areas in particular, trends relating to the generation of revenue such as projecting revenues from fees, fines, surcharges on collections, and dedicated revenue, and trends relating to social changes such as decriminalization laws, population shifts, and changes in prosecutorial and sentencing patterns and practices.

Moreover, probation should become more involved in the pursuit of grant monies. While grant funds generally are not sources of long term revenue they are very important as a means of developing programs and supplementing primary revenue sources. Probation personnel or volunteers should be trained to research grant sources and prepare applications to secure grant funds.

Objective 2: To effectively and efficiently utilize appropriated funds and available resources.

In general, the emphasis should be on getting the most out of the resources available. The first step to insure that this happens is to undertake a comprehensive in-house evaluation of programs, practices and procedures to determine where resources are being used and whether they can be more efficiently utilized. One area of particular concern in this regard is the management of cases. Efforts should be undertaken to develop and implement more cost effective alternatives to current service delivery practices. More emphasis should be placed on the use of automated information systems and case classification practices for example. Additionally, probation should utilize students, interns and volunteers to assist probation personnel and emphasize working with clients in groups rather than individually, where possible and appropriate.

Probation should take the initiative in forming consortiums for servicing clients and pooling resources to more effectively and efficiently utilize resources. Human service agencies of all types require many of the same skills, services and support functions. A consortium of these agencies could pool resources and share the cost for such things as training, employing specialized staff such as consultants, technical assistants, trainers, attorneys, and doctors, and equipment such as typewriters, word-processors, computers, supplies, and office space.

More effective and efficient resource utilization can be realized as well through contingency planning aimed at preparing the agency to deal with unexpected funding cuts. Such plans might establish a priority list of programs and services to be eliminated or reduced in the event of budget cutbacks. Contingency plans may also be devised to identify alternative means of service delivery should budget cutbacks occur.

Reconsideration of policies and procedures may also lead to cost reductions. Introducing modified work schedules, increasing leave time in lieu of raises, cross training personnel to perform various duties and employing team supervision approaches are avenues to be explored to cut costs. Savings might also be realized through increased use of volunteers, interns and paraprofessionals and introduction of time and labor saving technology.

An essential aspect of effective and efficient resource utilization is the development of auditing and monitoring procedures aimed at identifying on a routine basis ways of cutting cost and improving services. Periodic review of case handling and information management procedures should be carried out and modifications experimented with to assess their effectiveness. Such things as travel patterns, client contacts, court appearances and investigation procedures should be reconsidered to modify and consolidate activities to cut costs.

Finally, it may be necessary under extensive funding constraints to reconsider the function of probation and establish a priority list of objectives and tasks to be maintained. Once priorities are established those tasks not essential to probation and those that can be assumed by other agencies should be eliminated from the probation function. Probation must accept the reality of the economic situation and understand that limited resources necessitate limited services. Probation should publicly acknowledge cutbacks in service and detail the reasons for the cutbacks. Probation and the public must realize that trying to perform "more with less" will result in less effective services and should, instead, opt for providing quality services even though limited in scope.

POSITION PAPER #3
COMMUNITY RESOURCES

Statement of the Issue

Adequate community resources are vital to the success of any probation program. Securing the necessary community resources for assisting probation clients has traditionally been a problem for probation agencies. Among the problems traditionally associated with securing services for probationers are: (1) a reluctance by some community agencies to work with offenders, (2) an absence of or inadequate resources for dealing with special problems such as mentally, emotionally or physically handicapped offenders, (3) a lack of coordination among community resource agencies and between probation and community resource agencies resulting in duplication of services while other needed services remain unavailable, (4) a lack of adequate communication and understanding between probation and community resource agencies, (5) limited knowledge on the part of probation personnel with respect to the availability of community resources, and (6) a common practice of using the criminal justice system, and probation in particular, as a catch-all for many of society's maladjusted for whom other community agencies, better equipped to deal with their problems, will not accept responsibility.

In recent years, the problem of securing community resources has been exacerbated as a result of diminishing financial resources at all levels of government and in many areas of the private sector. Many community agencies now charge a fee for services that were previously provided free of charge. Many services have been eliminated because the necessary finances to continue operations are not available. Moreover, the reduction in available financial resources has placed probation and community resource agencies in a position of having to compete against each other for a share of the available money in order to meet their operating expenses.

Proposal for Issue Resolution

Goal: To refine community resources to meet the needs of probationers.

Charged with the responsibility of assisting probationers in finding essential services and confronted with the reality of inadequate community resources to meet the needs of probationers, the task before probation is to work with community resource agencies to coordinate and refine existing resources and develop needed but non-existent resources to make available adequate services to meet the varied needs of probationers.

Objective 1: To identify and prioritize client needs.

The initial step in the development of an effective service delivery system is to define the universe of services to be sought from within the community. This can be accomplished through a two step process of identifying and prioritizing the needs of probationers. Several approaches can be used in identifying the services needed by probationers. From a review of past and current cases a list of all services sought and/or provided can be compiled. A survey of probation personnel can also be used to identify needed

services. The method recommended as the most efficient and reliable is to develop or adapt a validly constructed and reliable needs assessment instrument that can be applied on a case by case basis. The instrument should be used on an ongoing basis and the information generated from the application of the instrument should be compiled and routinely updated to monitor changes in client needs over time.

Once an exhaustive list of needed services is compiled it may be necessary to prioritize service needs. At the agency level establishing a priority list may be indicated, in the event that financing for all services needed is not available, to make decisions regarding the allocation of resources in order to maintain, expand or develop services deemed essential and reduce or eliminate non-essential services. In establishing a priority list of needed services to be secured, consideration should be given first to those services frequently mandated by the court as conditions of probation and to those services that are directly related to the protection of the community. Other factors to be considered in establishing a priority list include the effectiveness of particular types of services, the cost of providing various services, and the frequency of need for a particular service.

Objective 2: To identify community resources currently available.

Identification of the resources currently available in the community must be done, initially, to determine which of the needed services identified cannot be provided through existing community resources. A second and equally important reason for compiling an exhaustive listing of available services is to provide probation agency and personnel with a reference document to be used in assisting probationers to find services.

Methods for identifying existing resources include reviewing existing directories of services compiled by various community organizations and local agencies, surveys of community organizations, fraternal associations, businesses, and churches aimed at identifying organizations providing needed services, and perusal of the telephone directory to locate potential sources of services. Additionally a public notice can be placed in local newspapers and professional journals describing the services sought and requesting anyone knowing of resources to meet these needs or anyone capable of providing the services to notify the probation agency.

Once community resources are identified a comprehensive directory of services should be compiled and organized for easy referencing of available services. Responsibility for compiling the directory and updating it on an on-going basis should be given to probation personnel, interns or volunteers.

Objective 3: To eliminate duplicative services.

The elimination or reduction of duplicative services can enhance the service delivery system. It is assumed that many community resource agencies receive their funding, in whole or in part, from the same sources. These funds could be more effectively used if duplicated services were reduced or eliminated and the money saved was used to develop services not available or to expand or improve existing services.

The primary cause of service duplication is the lack of coordination among service providers within the community. To bring about the reduction or elimination of service duplication a comprehensive coordinating effort must be undertaken. An interagency council composed of representatives from organizations providing services and those using services, similar to the familiar Youth Boards and Municipal Coordinating Councils, should be formed and charged with the responsibility of coordinating the development and delivery of services. The aim of the council should be to make available the widest range of services possible, given limited financial resources, in the most cost effective manner. Moreover, the council should perform a monitoring function to keep abreast of changes in the community's service needs and advocate the elimination or reduction of services in less demand and the development of new programs to provide services to meet evolving community needs.

Objective 4: To develop needed services not currently available.

Initially the interagency council should be approached and encouraged to develop the needed services to be integrated into a well coordinated community-wide service delivery system. Working through the council increases the probability that the responsibility for developing, implementing, and financing the services needed will be shared by a variety of agencies. If the interagency council does not become involved in the development of needed services and probation assumes full responsibility for their development several options are available. One approach is to train probation personnel or volunteers in-house to provide specialized services. Alternatively, services needed might be obtained from neighboring probation agencies having the required expertise. Specific service needs might also be met by contracting with individuals or agencies having the required expertise to provide such services.

Developing or obtaining needed services requires, in addition, to expertise, resources for financing the delivery of services. In addition, to traditional funding approaches such as appealing to the legislature and re-allocating existing resources, probation administrators would be well advised to examine alternative financing schemes such as charging probationers fees for services, looking to insurance companies to pay for services that might be covered under medical insurance plans, investigating the interests of local businesses to identify social programs of interest to the company and seeking contributions to defray costs, and pursuing

grants from foundations and governmental agencies. Moreover, services might be obtained free of charge by enlisting qualified volunteers to donate their time and expertise to provide services or train probation personnel or volunteers to provide services, or by bartering for needed services whereby the probation agency provides services needed by another agency in return for the services probation needs. Costs may be reduced also by pooling resources or sharing costs and services with a neighboring probation agency. Finally, if services must be contracted competitive bidding should be used to obtain desired services at the lowest cost.

Objective 5: To support services proven to be effective.

As community resources become more scarce and costly and, consequently, less accessible, the continued availability of services proven to be effective becomes a significant concern for probation. Probation has a vested interest in supporting those agencies providing services that have proven effective for probationers. To the extent that effective services continue to exist probation does not have to assume responsibility for the development and operation of such services for probationers. This, of course, results in a savings of financial and personnel resources for probation that, absent community resources to provide such services, would have to be deployed to provide the needed services.

Support for effective services can be provided by probation in several ways. Perhaps the most convincing means of demonstrating support for effective services is through the referral of cases. Probation agencies should refer cases only to those programs that have proven to be effective in dealing with probationers' problems and detailed records of referrals, services provided and outcome measures should be maintained as evidence to support such services. In addition, probation agencies should, to the extent possible, assist agencies providing effective services in securing funding by writing letters of support to funding sources, testifying on behalf of the community agency at budget hearings and public hearings and providing assistance in or jointly sponsoring fund raising events.

Objective 6: To have each governmental human service agency take major responsibility for those individuals whose primary problem falls within the agency's mandate.

The concern here is that probation has, in effect, become a dumping ground for a variety of people who have serious mental and/or emotional problems with which probation is not equipped to deal. While these people have committed crimes and have been appropriately placed on probation, the primary cause for their involvement in the criminal justice system is their mental or emotional problem. Therefore, the primary responsibility for dealing with these people should lie with agencies equipped to deal with such problems.

To bring about this change a task force should be created to establish criteria and policies to govern which agencies should assume sole or joint responsibility for cases of this nature. A committee comprised of representatives from the various agencies should be established to apply the criteria, review problem cases, and determine on a case-by-case basis which agency will assume primary responsibility for service delivery. An approach such as this would remove the onus from probation agents to provide services beyond their expertise and capability that are available through other governmental agencies and would improve the quality of services delivered to clients.

POSITION PAPER #4
PROFESSIONALIZATION OF PROBATION

Statement of the Issue

Among persons employed throughout the field of probation, probation is viewed as an emerging profession that has yet to achieve a status commensurate with the responsibilities charged to or the expertise required of probation personnel. Among other things, probation personnel point to low salaries and benefits as evidence that the field has not received the public recognition believed to be deserved by probation professionals. The lack of recognition accompanied by inadequate salaries and benefits are, moreover, viewed as a primary cause of probation's inability to attract and retain highly qualified and motivated people.

Proposal for Issue Resolution

Goal: To achieve professional status and expertise, community recognition and compensation commensurate with the responsibilities charged to probation personnel.

Objective 1: To promote a professional identity for probation.

The field of probation should establish and support a national probation association that will assume responsibility for developing a code of ethics governing the behavior of probation personnel, establishing minimum competency criteria for probation personnel, setting standards for accreditation of probation agencies and programs, fostering professional growth through conferences, publishing a professional journal, and providing training and technical assistance to the field of probation.

Promoting a professional identity should also be pursued through a proactive public relations campaign designed to educate the public as to the mission and function of probation professionals, educate legislators as to the importance, cost effectiveness, performance record, and mission and goals of probation, inform the public of the cost effectiveness and services of probation, and foster recognition of probation as a profession among related professions both within the criminal justice community and outside of criminal justice.

Objective 2: To promote the development and maintenance of professional expertise within the field.

Efforts should be undertaken, within colleges and universities, to develop a specific curriculum to educate and train probation personnel and to develop a specialized body of probation knowledge. Nationwide, probation agencies should adopt minimum education and training standards at the entry level and develop incentives for personnel for continuing

education and training throughout their careers. Professional resources such as training programs, research results and literature regarding innovations should be made available to the field and appropriate occupational specializations should be developed.

Objective 3: To provide probation personnel compensation commensurate with their qualifications and responsibilities.

Compensation schemes for probation should be formulated such that an employee's compensation rate is based on job performance and professional achievement. This requires regular evaluations of personnel and the establishment of criteria upon which evaluations are to be made. While monetary compensation is the preferred form of compensation it is recognized that financial resources are scarce. Where monetary increases in compensation are not possible various forms of remuneration other than money should be explored such as increased leave time, sabbaticals for professional development, and service awards recognizing outstanding job performance. Incentives should be offered for professional development and where possible expenses for training and education should be assumed by the probation agency. Consideration, where appropriate, should be given to increased remuneration in those areas where the probation officer's job could be considered a hazardous occupation. In addition, promotional opportunities could be increased by encouraging early retirement with full benefits and developing non-management advancement opportunities for line personnel such as the creation of positions requiring specialized expertise. Moreover, each agency should make available to all employees a career development plan that clearly defines the criteria to be met in order to be eligible for promotions within the agency.

Objective 4: To create a positive, professional work environment.

Throughout the field of probation minimum standards should be established and adhered to regarding workload, performance levels, hiring, promotions and terminations to provide employees with notice of what is expected of them and what they can expect of the agency. A great deal could be done to improve the level of job satisfaction by simply providing staff with comfortable, pleasant work environments. Office space with modern equipment, adequate supplies and support staff, and facilities for conducting confidential interviews with clients should be minimum requirements of all agencies. In addition probation should develop resources designed to prevent and/or reduce stress and burnout and support programs to assist personnel with job related problems.

Objective 5: To promote effective probation management.

The professionalization of probation can be promoted through the development of a cadre of effective, professional managers. Management personnel should be required to meet minimum standards of education, training and experience. Continuing education and training should be required of and encouraged for all management personnel.

Effective management can be enhanced as well by utilizing employee input in the decision-making process and encouraging line personnel to offer suggestions for improvement in operations. Management should also establish written criteria to be used in performance evaluations, conduct regular evaluations and provide personnel with timely feedback.

POSITION PAPER #5
COMMUNITY SUPPORT

Statement of the Issue

Community support is an important element in the effective administration of probation. Despite the need for community support, the field of probation has not been aggressive in enlisting and maintaining strong support for probation within the community. Significant changes in the economic and political climate in recent years, emphasize the need for strong community support for probation. Financial resources, once relatively plentiful, are becoming increasingly scarce while the competition for a share of the dwindling resources is becoming more acute. Public attitudes toward the criminal justice system generally, and probation specifically, are often characterized by skepticism, mistrust and dissatisfaction. In addition, support for the concept of community corrections is being eroded as the public clamors for more incarceration and longer, tougher criminal sentences. In the face of these changes the field of probation can no longer afford to be without strong support from the community. If probation is to avoid serious, and perhaps fatal, budget cutbacks, counter and reverse negative public sentiments toward probation, and continue to provide services and seek effective, innovative approaches for dealing with offenders in the community, the field of probation must take an aggressive, proactive stance with respect to enlisting and maintaining the support of the community.

Proposal for Issue Resolution

Goal: To develop and maintain strong, broad based community support for probation.

The cornerstone to developing and maintaining strong, broad based support for probation within the community is a knowledgeable, well informed public. The absence of community support for probation is largely attributable to the public's lack of knowledge, misunderstanding and misconceptions regarding what probation is and what probation does. To rectify this situation the field of probation must assume responsibility for informing the public of the accomplishments of and services provided by probation as well as aiding the public in understanding the role of probation within the larger context of the criminal justice system and the community. Moreover, efforts aimed at winning community support should actively involve the community in the probation process and show the community that the field of probation is concerned with and responsive to community needs. In securing and sustaining strong, broad based community support the field of probation must demonstrate to the community, through community education and involvement that probation agencies working within and in concert with the community, offer an effective, viable method for dealing with some types of offenders and are therefore, worthy and deserving of the community support necessary to carry out the duties and responsibilities charged to probation.

Objective 1: To assess community attitudes toward and perceptions of probation.

In designing an efficient and effective campaign aimed at enlisting the support of the community it is important to have an accurate base of knowledge from which to work. Often such a knowledge base is derived from prevailing common wisdom absent any attempt to validate the commonly held beliefs. Reliance on common wisdom, however, is not believed to be an adequate substitute for more rigorous, scientific methods for building a base of knowledge. A well designed, methodologically sound survey of community attitudes and perceptions can provide reliable information for designing a plan of action. An appropriately designed survey can identify specific areas to be targeted as the focus of attention in enlisting community support. If, for example, the survey results reveal a variety of misconceptions about the purposes of probation, efforts can be directed at ways to correct these misconceptions. Without an assessment of attitudes and perceptions to target areas in need of attention efforts to enlist community support may be misdirected and consequently, ineffective in nurturing support.

Objective 2: To develop a cohesive, comprehensive program to involve citizens.

Involving citizens in the probation process can prove to be a very profitable endeavor with respect to enlisting community support. Citizens involved in probation will become more knowledgeable about probation and develop a better understanding of the purposes and functions of probation. Involvement can also generate, among citizens involved in probation, a sense of commitment to and an increased stake in the success of probation leading to a more supportive citizenry. Moreover, those citizens involved in the process can form the nucleus of a community support group for probation and through their interactions with other community members promote probation and encourage support for probation.

Three strategies for involving citizens are recommended. One approach is to organize a volunteer program with a firm commitment from the probation administration to utilize volunteers in a meaningful and constructive manner that will promote support for probation while at the same time provide probation personnel with assistance in carrying out their duties. To help volunteers better understand the probation process and thereby win their support they need to be integrated into the daily routine to gain firsthand knowledge and experience. For this to be accomplished effectively and efficiently requires a firm commitment to assessing the needs of the agency to determine the most appropriate uses of volunteers, a firm commitment to training probation personnel to utilize volunteers to avoid alienating the volunteers and to promote an understanding of and support for probation among volunteers and, a firm commitment to recruiting and training volunteers to enable them to perform the tasks they are assigned.

The formation of a community advisory board is another way of enlisting community support through citizen involvement in probation. Community advisory boards provide a direct link between the community and probation and demonstrate to the community that probation is interested in community input and committed to working with the community in resolving problems and setting direction for probation. Two critical issues must be confronted in establishing a community advisory board. First, the role of the board must be clearly defined. This is necessary to establish the parameters within which the board will operate, and to delineate the extent to which the board's decisions and recommendations are to be reflected in policies and procedures. A second consideration regards the composition of the advisory board. Keeping in mind that at least one purpose of such a board is to enlist community support, the composition of the board should be such that respected civic, business and other community leaders are represented on the board. The concern for promoting support for probation must of course be balanced by the concern for effective administration of probation. Such a balance might be struck by including among the board's members some representatives from the criminal justice community such as police, lawyers, and judges who might have a better understanding of the problems facing probation, or, who might develop a better understanding of these problems through their board of involvement.

The third approach for involving citizens in an effort to promote support for probation is aimed at crime victims. In this regard, probation should to extent possible work with victims to provide support and information. Probation agencies should establish victim assistance and restitution programs and routinely inform victims of the progress of the case in which they are involved. Simply displaying a concern for the victims, it is contended, will go a long way toward developing the victims' appreciation for probation and subsequent support.

Objective 3: To develop a public relations/education program designed to increase community understanding of and support for probation.

The most plausible way in which to reach the largest number of people is to mount a massive public relations campaign utilizing a wide range of forums for disseminating information. While at first glance they may appear to be costly in terms of money and manpower such an undertaking may prove to be less expensive than anticipated and the returns on the investment could prove to be invaluable.

Efforts to develop and implement a public relations campaign initially must be focused in-house. Probation personnel need to be apprised of the value of good public relations and must be trained to view every encounter with the community as an opportunity to promote probation within the community. Members of the advisory boards, paraprofessionals and volunteers should also be made aware of the opportunities they have to disseminate information and cultivate support, and they too, should be encouraged to take advantage of

such opportunities. In addition to capitalizing on chance encounters, probation personnel should actively seek speaking engagements to address local civic groups in an effort to increase visibility and educate the community. Probationers could also be encouraged to get involved in speaking engagements to give firsthand accounts of the ways in which probation is helping offenders and the community.

Well coordinated media campaigns are also recommended. A concerted effort should be made to issue regular press releases providing the public with information about the local probation agency including such things as performance statistics, emerging issues, program development and general information regarding routine probation procedures and practices. Relationships should be cultivated with media representatives to open lines of communications in order to promote accurate reporting of events concerning probation and open avenues for information dissemination by probation such as a regular column in the local newspaper or appearances on local radio and television issue oriented programs.

One target of such an educational campaign that cannot be overlooked is the legislature. Informational packages should be developed and disseminated to legislators and other elected and appointed officials providing them with an orientation to the probation process and information regarding the agency's performance record. Probation personnel should be encouraged to be active, to the extent legally permissible, in local politics and interact with local elected and appointed officials to promote the interests of probation. Knowledgeable testimony and position papers on issues should be provided to the officials as issues affecting probation arise. In addition, legislators and officials who have demonstrated that they share the same interests as probation should be supported for re-election while those legislators and officials not supportive of probation should be identified and campaigned against.

The primary objective of waging a public relations campaign is to educate the public as to the benefits of probation as a viable community based sanction. Thus, probation must seek to counter the negative publicity it receives with positive information. Positive, educational publicity should focus on dispelling inappropriate expectations held by the public, increasing public awareness of services provided to victims and the community by probation, emphasizing the success of probation and cost savings involved relative to other dispositions, and, in general, making probation more visible to the public.

Objective 4: To solidify a common and accurate understanding of probation among criminal justice agents.

In much the same way that the community in general has limited knowledge and inaccurate perceptions of probation other agents in the criminal justice system also often do not understand completely or accurately probation's purposes and functions. This is a serious problem for probation in that the agents of the system are to varying extents regarded by the community as having accurate information about the criminal justice system and therefore, to the extent these other agents have inaccurate perceptions of probation

and are relating these to the public, probation's problems of correcting misperceptions are exacerbated and the working relations between probation and other agencies are strained.

Efforts to correct this situation should begin with an assessment of attitudes and perceptions held by other agents of the system to target areas in need of attention. Once identified probation should work to re-educate other criminal justice agents regarding probation. Suggested approaches include providing orientation sessions for police, prosecutors, defense lawyers, judges, etc., engaging in mutual, routine information transfer programs between agencies and responding immediately to inaccurate information to correct the inaccuracies. Moreover, probation personnel should be encouraged to join professional organizations to promote contact with agents from other areas of criminal justice and to use contacts with staff from other agencies to correct misperceptions and foster mutually cooperative and supportive relationships.

Objective 5: To assess the effectiveness of the campaign to enlist community support.

The activities engaged in to enlist support should be routinely evaluated to determine their effectiveness and provide information for modifying and redirecting approaches to make them more effective. Changes in the perceptions of citizens, victims, other criminal justice system agents and probation personnel should be monitored as indicators of the success of the campaign. Other indicators to be measured include funding levels, information requests and requests for speakers, press coverage, and citizen interest in becoming volunteers. Where probation personnel have neither the time nor expertise to conduct such as assessment private contractors or local university faculty or student interns might be employed for this purpose.

POSITION PAPER #6
PROBATION MISSION AND GOALS

Statement of the Issue

Consensus regarding the appropriate mission and goals for probation does not exist at local, state and national levels. The absence of a clearly defined mission and clearly defined goals leaves probation personnel without guidance in the performance of their duties. The absence of a mission and goals allows the functions of probation to be dictated from outside the agency often resulting in inconsistent and/or counterproductive efforts being undertaken. Probation professionals must assume a proactive role in the formulation of a mission and goals.

Statement of Mission

Over the past century, probation has taken its place as an integral part of the correctional system. As an important component of the criminal justice and juvenile justice systems, probation has, as the primary mission, the provision of service to the system, the community, and the client in order to accomplish three ends. First, probation services must promote law abiding behavior on the part of probationers. Second, probation services must protect the community from illegal activities of probationers. Finally, given the inevitability of some criminal behavior, probation services must be directed toward attempting to reduce the impact of crimes, committed by probationers, on the community.

It is felt that the mission of probation can best be accomplished by meeting three major goals in the areas of investigations, supervision, and community relations.

Goal 1: To provide comprehensive investigations, appropriate evaluations, and justifiable recommendations to assist the courts in determining which offenders are prudent risks to remain in the community.

In practice, the investigation function has spread far beyond the sentencing or disposition stage. This is not inappropriate. It is the responsibility of the probation agency to provide information to the courts which will assist in judicial decision making in criminal and/or delinquency proceedings. Consequently, probation agencies should be prepared to conduct investigations and make evaluations and recommendations for pretrial release, dispositional alternatives and any and all court decisions regarding offenders, as appropriate in any given jurisdiction.

Investigation Reports, at any stage of the justice process, must contain, at a minimum, certain elements including, but not limited to, the following:

1. Verified or substantiated information about the offender and the offense
2. Evaluation of the information and recommendations based on that evaluation

3. Empirical assessment of risk as a guideline for decisions
4. Information, as required or requested, to assist the judge in increasing consistency in sentencing

The investigation and subsequent report must be undertaken as a reasoned, logical process in which the evaluation and recommendation have a direct and observable (or explainable) relationship to the information collected. Recommendations should further be related to an empirical risk assessment score which estimates, or allows to be estimated, the offender's likelihood of failure in the community. Finally, the judge must have sufficient verified information to insure the sentence or disposition is not disparate when compared to the outcome for other similarly situated offenders.

Goal 2: To provide direction to clients for compliance with court ordered conditions and to promote law abiding behavior.

To serve the court and protect the community, the probation agency must ensure its officers are effectively monitoring, assisting and supervising probation clients. This is accomplished by promoting acceptable supervision techniques involving surveillance, counselling, individual program development, and appropriate use of community resources.

Compliance, on the part of probationers, with court ordered conditions is a key element in the supervision process. In order to provide direction to clients in this area, several issues must be addressed. First, the conditions, ordered by the court upon sentence to probation must be written and made part of the supervision plan and case record. Second, the probation officer has the obligation to explain the conditions to the client and to insure the client is fully cognizant and understanding of both the conditions and consequences of failure to meet the conditions imposed. Third, the officer must obtain, from the probationer, a signed document in which the client acknowledges both awareness and understanding. Finally, it is the responsibility of both the court and the probation department to see that the orders and conditions are flexible enough to allow for individual (case by case) interpretation and/or modification, as necessary.

To insure compliance and promote law abiding behavior, an effective supervision plan must be developed for each offender under probation supervision. To accomplish this, client input must be secured from the outset of the supervision period. The probationer must be encouraged to participate in identifying problem areas and the methodology to be used in addressing these areas. Furthermore, the supervision plan, as well as the supervision process, must not be seen as static. Objectives must be set and revised in accordance with client needs. This means that the supervision plan must be subject to periodic evaluation by the probation officer and the client, the plan being modified as needs are met and other needs arise.

An unfortunate reality is that both compliance with court orders and promotion of law abiding behavior depend to some extent on paper work. This means that the officer must maintain accurate, appropriate and complete case records. Further, agency policy must be established, in cooperation with the courts, by which the officer may inform the sentencing court of compliance or non-compliance. Such reports could result in early termination of the probation sentence, modification of conditions or, in the extreme, revocation of probation.

As noted earlier, direction to clients is provided through appropriate techniques of supervision including surveillance, counselling, program development, and the use of community resources.

Surveillance requires more than client reporting and home visits by the probation officer. The officer must maintain active and documented liaison with appropriate law enforcement agencies and officials. The officer must have an in-depth knowledge of the community, including crime problems, patterns and areas. Finally, the probation officer must pursue collateral contacts, including friends, relatives and employers of the client, in order to monitor client behavior effectively.

Counselling is a critical part of the supervision process. Since a great deal of material is available concerning the issue, only two points need be made here. Briefly, the counselling must be relevant to the expertise existing within the probation agency. If the problem lies outside of the agency's expertise a referral should be made. Second, the counselling must apply directly to the client's identified problem.

The probation agency also shares the responsibility of supervision and a crucial aspect of agency responsibility is the development of programs appropriate to probationer needs. The department's actions should include the following:

1. Initiating a program of client research to identify problems for which no program exists in the agency;
2. Development of such programs or;
3. Making contact with other agencies which can provide the needed programs and coordinating with those agencies for client services;
4. Maintaining an active and cooperative relationship with academic institutes to keep abreast of new programs and research fundings;
5. Pursuing available funding for program development;
6. Setting measurable and reasonable goals and objectives and implementing new programs.

Both the agency and the individual officer have responsibility for the development and use of community resources in the area of supervision. The officer must be aware of available services and be educated to their availability and use. Both agency and officer must pursue advocacy of such services for probation clients. Finally, the agency managers must organize the use of community resources. The use of such programs is too often haphazard, dependent on the knowledge and "contacts" of individual probation officers. The agency must formally assure continuity of the service process and maintain official communications with all identified service agencies.

The techniques discussed above, if formalized and pursued, will serve as a core for the supervision process. Building upon these will go far in establishing the goal of compliance and law abiding behavior.

Goal 3: To establish and maintain positive relations with community groups by providing information and services that relate to the problems of crime, its prevention and its aftermath.

The goal itself is critical to the field of probation if it is to continue and expand, maintaining its proper place as an acceptable alternative to incarceration. The objectives fall into two main groups, one dealing with communication and the other with program/services.

In the first group, communications, the objectives are as follows:

1. The probation agency must make a concerted effort to effectively communicate, to the community, its mission, goals, and available services.
2. The agency must foster increased community awareness of probation's functions, responsibilities and services. This will result in more clearly defined expectations for probation.
3. Community dialogue must be promoted by the probation department. This must be done at all levels and in all areas of the community. It should address the impact of crime on the victim, the need for crime prevention efforts and services, and the effect of crime on the community.

Probation agencies are generally the most truly community based component of the corrections process. As such, the agency must acknowledge its responsibility as a key link between the system and the people. The objectives discussed above can only be fully accomplished if this is accepted as part of the probation mission. Public relations and use of the media are legitimate activities to the extent that they support the mission and goals of the system. These activities should include speaking appearances before community, business, and educational groups. They should include press conferences by the probation administrator, ongoing liaison and dialogues with formal and informal community leaders, and a general responsiveness and receptivity to the community at large.

The service objectives for Goal #3 include:

1. Improved effectiveness of existing probation and related community services.
2. Development of additional community services.
3. Support of probation's role to facilitate funding of services.
4. Improved services to victims and the community to minimize the after-effects of crime.

Again, this is an expansion of the generally accepted bounds of probation service. This expansion is, however, seen as absolutely necessary. If probation refuses to expand beyond its own limitations in a progressive manner, the role of the field will surely be diminished. Probation must explore new, and perhaps alien roles and firmly establish itself as an acceptable alternative to incarceration and as a true community service.

Proposal for Implementation

The above goals and objectives represent the barest beginning of a standardized mission for the field of probation. The work must be continued, expanded and refined. The means of implementing this initial product include:

1. Distributing copies of this report to all national and state probation associations, all state administered probation agencies and to a representative sample of local probation agencies throughout the United States.
2. Accompanying the position papers with an evaluative instrument, consisting of forced choice items with space for comments.
3. Convening a national task force of representatives of probation personnel to:
 - a. assimilate and evaluate feedback;
 - b. incorporate revisions into the position paper; and
 - c. prepare the final product.

The national task force should be charged with the responsibility of further development and continuing implementation of the mission and goals.

NOTES

- ¹Fogel, David. "Probation in Search of an Advocate." Center for Research in Law and Justice, University of Illinois at Chicago Circle, 1981, p. 2.
- ²Allen, Harry E., Eric W. Carlson and Evalyn C. Parks. Critical Issues in Adult Probation: Summary. NILE & CJ, 1979, p. 1.
- ³Fitzharris, Timothy L. Economic Strategies in Probation. California Probation, Parole and Correctional Association, Inc., 1981, p. 9.
- ⁴Allen, supra note 2, p. 1.
- ⁵Lipton, D., R. Martinson and J. Wilks, The Effectiveness of Correctional Treatment. New York: Preager, 1975.
- ⁶Fitzharris, supra note 3, p. 9.
- ⁷Ibid., p. 9.
- ⁸See for example, Allen, supra note 2; and Fitzharris, supra note 3.
- ⁹National Council on Crime and Delinquency, 1980 Adult Probation Directory, San Francisco, 1980.
- ¹⁰Crime in the United States: Uniform Crime Reports 1980. U.S. Department of Justice, Federal Bureau of Investigation, 1981.

Appendix A

ISSUES	NUMBER RESPONDING	RELATED PROBLEMS	STRATEGIES FOR RESOLUTION
Community Support	31	Community support for probation lacking. Community does not understand what probation is and what probation staff does. Community views probation as leniency not punishment. Community has unrealistic expectations of probation. Probation seen as a failure by community and thus has no credibility with the public leading to no support in the budgetary process. Uneducated public has narrow view of needs of offenders viewing many programs as unnecessary frills.	
Probation Mission and Goals	31	No consensus regarding the missions and goals of probation at local, state or federal level. Absence of mission and goals leaves individual officers with no guidance for performance of job. Lack of clear mission and goals results in other agencies and public dictating functions of probation. Probation leadership not proactive in defining mission and goals. Absence of missions and goals results in inconsistent and/or counterproductive efforts being undertaken and causes frustration and tension among probation staff and administrators.	

NAME: _____

Research ID # _____

ISSUES	RELATED PROBLEMS
<p>Issue 6: _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>Issue 7: _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>Issue 8: _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>

NAME: _____ Research ID # _____

ISSUES	RELATED PROBLEMS
Issue 9: _____ _____ _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____
Issue 10: Lowest Priority _____ _____ _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____

Thank you for your participation in this phase of the project. In several weeks, after the analysis of responses to this questionnaire is completed, you will receive a second questionnaire that will provide you with a summary of the responses given to this questionnaire. You will then be asked to suggest strategies to be employed in resolving the issues perceived to be most critical by the panel of respondents. Your continued cooperation is extremely important to the success of the project and will be greatly appreciated.

NAME: _____

Research ID# _____

Instructions: In the spaces provided please suggest approaches that you believe would be both desirable and effective in resolving the problems related to each of the six issues listed below. You may suggest approaches that have been effectively employed in similar situations or original ideas you may have for dealing with the problems enumerated. If the approaches you suggest have been used previously, please indicate where the approach was used and, when possible, provide citations for reference purposes. Please be as precise and detailed as possible in recording your responses and take care to write legibly. If additional space is required use the back of this form. Please label clearly all responses continued on the back.

ISSUES	NUMBER RESPONDING	RELATED PROBLEMS	STRATEGIES FOR RESOLUTION
Caseload Size	66	Caseloads considered to be too large. Insufficient time devoted to each case. Contact with offenders too infrequent. Less time to conduct needs assessments and provide counseling and services. Supervision becomes crisis intervention rather than delivery of services and counseling. Service delivery neglected in favor of PSI's and/or surveillance. Quality of work suffers. Loss of confidence in probation by courts.	
Budget Cutbacks	50	Loss of staff due to layoffs and attrition. Termination of in-house support units and new programs, e.g., victim/witness units, research and planning units, staff training programs. Limits on most basic needs, e.g., phones, postage, travel, clerical and secretarial services. Reduction, in general, in availability of social service programs and where available many programs that were free now must be paid for. Increased morale problems, turn-over, and frustration among staff.	

NAME: _____

ISSUES	NUMBER RESPONDING	RELATED PROBLEMS	STRATEGIES FOR RESOLUTION
Community Resources	38	Community resources become more scarce. Services provided for free in the past now must be paid for. Resources for dealing with special problems e.g., mentally or emotionally disturbed, physically handicapped, are inadequate, especially in non-urban areas. Lack of coordination among agencies resulting in duplications of services.	
Salaries, Benefits and Promotions	32	Salaries and benefits considered to be in adequate and opportunities for advancement and promotion are infrequent. Results in not being able to attract and keep highly qualified persons in probation positions. Absence of potential for better salaries and benefits and promotions leaves no incentive for personal and professional development among staff. Results in low morale, frustration, burn-out, high staff turnover, and less than the best qualified individuals filling probation positions.	

NAME: _____

Research ID # _____

Instructions:

In the spaces provided list the issues that you believe to be the most pressing issues confronting probation at the present time or in the near future. Place the issue that you perceive as being the most critical in the first space, the next most critical in the second space and so on. A maximum of 10 issues can be recorded but you do not have to list the maximum number. In the next column, list the problems that you believe to be related to each of the issues you have listed. Even if you do not wish to enumerate the problems related to each issue, please do list the issues of concern to you. Please be as precise as possible in recording your responses and take care to write legibly. If additional space is required use the back of this form. Please label clearly all responses continued on the back.

Example:

Assume we were interested in examining issues in prison administration. The issue of highest priority might be listed as prison overcrowding. Problems related to this issue might include: 1) lack of funds for construction of new facilities, 2) absence of effective alternative sanctions to incarceration, 3) increased tension in the prison population resulting in increased incidence of violence within the institution, and 4) lack of adequate programs and job opportunities for inmates.

ISSUES	RELATED PROBLEMS
Issue 1: Highest Priority _____ _____ _____ _____ _____	_____ _____ _____ _____ _____
Issue 2: _____ _____ _____ _____ _____	_____ _____ _____ _____ _____

NAME: _____ Research ID # _____

ISSUES	RELATED PROBLEMS
Issue 3: _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____
Issue 4: _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____
Issue 5: _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____

RESPONDENT FACT SHEET

AMERICAN PROBATION AND PAROLE ASSOCIATION

CRITICAL ISSUES, STRATEGIES AND MISSIONS IN PROBATION PROJECT

Name _____ Research ID# _____ (office use)

Job Title _____

1. Age: _____ 2. Sex: _____ Male _____ Female

3. Race/Ethnicity (check one)

_____ White
_____ Black
_____ Hispanic
_____ American Indian
_____ Other

4. Education (check one)

_____ High school graduate
_____ Associate degree
_____ Bachelor degree
_____ Graduate degree
_____ Other(specify _____)
_____)

5. Number of years doing probation work: _____

6. Number of years in current position: _____

7. Number of years in a corrections field position: _____

8. Number of years in a corrections facility position: _____

OFFICE FACT SHEET -- AMERICAN PROBATION AND PAROLE ASSOCIATION -- CRITICAL ISSUES, STRATEGIES AND MISSIONS IN PROBATION PROJECT

Name _____ Office _____ Address _____

Research ID# _____ (office use) _____ Phone _____

PLEASE CHECK THE RESPONSE WHICH MOST ACCURATELY DESCRIBES THE OFFICE IN WHICH YOU WORK.

1. Is this a branch office of a larger office, or the main office?
 _____ branch _____ main
 _____ other (specify _____)
2. The primary source of funding for this office is:
 _____ Federal _____ State
 _____ County _____ Other (specify _____)
3. This office has jurisdiction over:
 _____ Adult probation
 _____ Juvenile probation
 _____ Adult and juvenile probation
 _____ Adult probation and parole
 _____ Juvenile probation and parole
 _____ Adult probation and parole and juvenile probation and parole
4. The number of paid employees (full and part-time) in this office is:
 _____ (specify number)
5. The total number of clients under probation supervision during 1980 was:
 _____ 1- 50 _____ 1,000- 4,999
 _____ 51- 99 _____ 5,000- 9,999
 _____ 100-199 _____ 10,000-19,999
 _____ 200-499 _____ 20,000 or more
 _____ 500-999 _____ Unknown
 _____ Not applicable, not a supervisory office
6. The total number of clients under probation supervision on October 1, 1981 was:
 _____ (specify number)
 _____ unknown
 _____ Not applicable, not a supervisory office
7. The total number of presentence investigation assigned in this office during 1980 was:
 _____ 1- 50 _____ 1,000-2,999
 _____ 51- 99 _____ 3,000-5,999
 _____ 100-199 _____ 6,000-9,999
 _____ 200-499 _____ 10,000 or more
 _____ 500-999 _____ Unknown
 _____ Not applicable, not a supervisory office
8. The total number of presentence investigation requested by the court and sent to this office on October 1, 1981 was:
 _____ (specify number)
 _____ unknown
 _____ Not applicable, not a supervisory office

Appendix B

Working Paper #1
Caseload Size

Statement of the Issue: In general, probation caseloads are viewed as being too large to allow for effective and efficient surveillance of and delivery of services to probationers. Excessive caseloads necessitate reduced frequency of contact with probationers resulting in less than adequate time to conduct risk and need assessments and provide counseling and ancillary services. Supervision, consequently, is more often crisis intervention oriented rather than a rational, systematic process of counseling and assistance aimed at the reintegration of probationers into the community. Large caseloads necessitate choices being made regarding which probation functions will be carried out. Often functions such as counseling are neglected in favor of performing more visible functions such as preparing presentence investigation reports or more politically palatable functions such as surveillance. Generally, large caseloads are believed to adversely affect the quality of work performed by probation officers resulting in a loss of confidence with regard to probation by the courts and community as well as diminution of the seriousness of probation as a sanction as perceived by probationers.

Proposed Strategies for Resolution: The strategies for addressing the issue of large caseloads fall into three general categories. First, there are those approaches which seek to develop better management of cases rather than reducing the absolute number of cases in an agency's caseload. In the second category are those approaches that are aimed at reducing the absolute number of cases. The third category includes a pot pourri of generally applicable approaches. Each of the categories of approaches will be discussed in the order listed here.

The most obvious approach to reduce large individual caseloads is to increase the number of probation officers. Proponents of this approach are quick to realize that this is not likely to be feasible because of budgetary constraints. Short of hiring additional probation officers, staff can be increased through the hiring of para-professionals which would cost less than hiring fully qualified probation officers as well as introducing or expanding the use of volunteers and student interns at nominal costs that would be incurred to train and supervise the latter two groups. Para-professionals, volunteers, and student interns, it is suggested, could relieve probation officers of many of the more routine tasks currently taking time from direct contact with probationers. Additionally, it is offered that these people could assume full responsibility for those probationers requiring only minimal supervision.

A second, and frequently proposed, strategy for addressing the caseload issue is the use of a case classification system based on an assessment of the probationer's risk to the community and/or need for services. Using this approach probationers are categorized on

the basis of one or both of the dimensions of risk and need. Assignment of cases to probation officers is then made on the basis of the probationer's classification. Individual officers' caseloads are then comprised of one type of offender or a mix of offender types. Typically, if the caseloads are homogeneous officers assigned high risk/high need probationers have smaller caseloads while those officers with low risk/low need probationers have larger caseloads. If caseloads are heterogeneous each case type derived from the classification assessment is assigned a weighted score and cases are assigned so that the total risk/need score of each probation officer's caseload is approximately equal. By itself, the case classification approach does not reduce the total number of cases to be supervised. It does, however, operate to distribute the total workload of the agency evenly across the available staff.

Functional specialization of staff is suggested as another strategy for resolving the issue of large caseloads. Proponents of this strategy reject the traditional generalist model of probation officers arguing that the functions assumed by probation agencies are too diverse to expect that any one persons could develop expertise in performing all of these functions. Thus, where the generalist model is employed the quality of services provided to the courts, community, and probationer's vary across probation officers depending on the individual officer's areas of expertise. The probation function, it is argued, can be better performed not by the lone generalist but by a number of probation officers each with a specialized expertise that can be applied to the needs of the various consumers of probation services. The development and utilization of functional specialists can result in more efficient and effective operations for the agency, and delivery of services to probationers, courts, and the community. Areas in which specialization are typically suggested include among others, alcohol and drug counseling, employment counseling, community resource development, and presentence investigations. Obviously, in larger agencies the degree of specialization can be much greater than in smaller agencies. In smaller agencies therefore it may be necessary for each officer to develop several areas of specialization.

Implementation of the concept of probation teams is also suggested to alleviate the problems related to large caseloads. The team probation concept can be used in conjunction with either the generalist or specialist model described above, though it is most often suggested in connection with the specialist model. Generally, the team concept calls for the formation of units or teams with the agency comprised of all levels of staff including clerical staff, line staff and supervisory staff. Each team is then assigned to a caseload and the responsibility for all facets of supervision are shared by the team members. When used with the generalist model, the probation officers on the team are each responsible for a specific caseload but are also familiar with the caseloads of the other team members. Under this scheme officers cover for each other in the absence of one officer and

may share information regarding counseling and referral services. When used with the specialist model the teams are comprised of officers with various specialties and each officer is responsible to the caseload for those functions assumed under the specialty. For example, if a probationer requires assistance in locating a job the case is referred to the team member specializing in job counseling. The idea behind the team concept is that the probation function can be better performed not only through specialization but through a well integrated and coordinated team of specialists. The team concept can further be refined by using a case classification mechanism for assigning cases to caseloads. For example, one team might handle only high risk offenders in need of substance abuse counseling while another team deals with medium risk offenders with chronic employment problems. The team concept is touted as providing a more coordinated approach to supervision resulting in more effective service delivery as well as providing a great deal of flexibility with respect to the organizational structure of the agency.

Turning now to those strategies aimed at reducing the absolute number of cases in a caseload one approach suggested is for probation agencies to work with the legislature in the development of legislation that would impose limits on caseload size and to lobby the community and legislators for support in the passage of such legislation. Some proponents of this approach indicate a need for some preliminary work to be done prior to moving toward legislation to insure that any bill passed responds to probation needs. Among the preparatory activities is a suggestion to undertake time and motion studies to arrive at defensible workload standards and satisfactory formulas for setting maximum caseload limits. Additionally, it is suggested that the probation function be examined to establish reasonable expectations regarding the nature and extent of services to be delivered and that this information be incorporated in the development of caseload size legislation.

Another approach aimed at reducing caseload size calls for a total re-evaluation of the concept of probation. Proponents of this approach argue that the primary purpose of probation should be the protection of the community and that the provision of social services such as counseling and assistance programs typically assumed under the probation function can be better and more appropriately performed by other public and private agencies that have as their primary purpose the provision of such services. In addition, it is suggested that if the goals of probation and probation conditions were reformulated to focus on community protection the current role conflict between surveillance and service delivery often cited as a major source of stress for probation staff and probation agencies could be eliminated. Proponents of this approach generally recognize that probation cannot totally ignore the needs of probationers. However, they contend that probation should not have the responsibility of providing services to meet probationers' needs but should instead adopt a "broker of services"

approach whereby probationers are referred to other agencies to obtain these services. Usually it is suggested that the probation agency develop a specialist or group of specialists to function as community resource agents providing referrals to services in the community.

In addition to those strategies reviewed herein a miscellany of other suggestions were made that have general applicability regardless of which, if any, of the strategies reviewed here are implemented. It is suggested that a re-evaluation of caseloads aimed at identifying offenders who have been placed on probation but are inappropriate for probation be undertaken. These offenders fall into two categories, those whose offenses and backgrounds are too serious to warrant probation sentences but who are being placed on probation due to overcrowded institutions, and those whose offenses and backgrounds are so trivial that a sentence of probation is unwarranted but who are being placed on probation due to a lack of appropriate alternatives. Proponents of this approach suggest the need to develop clear guidelines identifying the types of offenders and offenses for which probation is most appropriate. Similarly, it has been suggested that early discharge from probation be more actively pursued by probation agencies where appropriate. Again, it is recognized that standards need to be formulated to guide decisions regarding early termination but it is suggested that these standards be established such that they are as liberal as possible without jeopardizing public safety. It is suggested that workload pressures could be eased considerably if the supervision function was made more objective. Proponents of this idea suggest rational, clearly identifiable objectives be set for probationers and success and failure decisions be made on the basis of the probationer's compliance with respect to meeting the objectives.

Additionally, it has been suggested that introducing participatory management into the process of formulating goals and objectives and establishing policies and procedures could reduce the level of stress and frustration caused by high caseloads as well as provide the potential for innovative ideas to emerge from staff that are aimed at resolving the caseload issue. Short of introducing participatory management, it is suggested that routine review and evaluation of policies and procedures could work to identify issues and problems and appropriate solutions before a crisis situation has time to develop.

Finally, alleviating the problems accompanying large caseloads, it is proposed, can be accomplished to some degree through the acquisition of time saving equipment and streamlining and standardization of procedures. Acquisition of labor saving devices such as word processing equipment, automated data storage and retrieval systems and modern dictation and transcription devices can result in considerable savings in time and manpower. Similarly, streamlining and standardization of reports and procedures to exclude non-essential information can significantly reduce time and labor spent in investigation and preparation of reports. Time and manpower savings of these types can then be used to provide more time and manpower for service delivery and surveillance.

Working Paper #2
Budget Cutbacks

Statement of the Issue: Cutbacks in budgetary allocations in general, and specifically with respect to probation, have affected all sectors of probation. Reduced or no-increase expenditures have resulted in loss of staff through lay-offs and attrition at all levels from clerical to line staff to administrative personnel. In-house support units and programs have suffered losses in financial support or have been terminated and programs in the developmental stages have been abandoned or placed lower on priority lists due to inadequate resources to support them. Financial constraints have placed limits, often intolerable limits, on even the most basic needs such as phones, travel, postage, office supplies, and clerical and secretarial services. Budget cutbacks have resulted, in general, in the reduction in availability of social service programs both in-house and within the community and where these programs are available many programs have begun to charge for these services where they once were free. Financial constraints have, in addition, operated to exacerbate personnel problems resulting in increased morale problems, high turn-over, and increased frustration among staff.

Proposed Strategies for Resolution: Proposed strategies for addressing the issue of budget cutbacks are of two types, those which look for more efficient deployment of monies appropriated for operating expenses and those which seek to acquire additional monies to meet operating expenses. We will first discuss the former category of suggested approaches.

The most frequently offered suggestion for dealing with reduced funding within the first category of approaches is to engage in more frequent and better planning both short and long range. It is suggested that the availability of financial resources can be projected into the future by funding sources and that this information should be available to probation agencies at the earliest opportunity to allow for better planning. With this information in hand the affects of budget cutbacks, should they be imminent, can be dealt with proactively by administrators in allocating resources. By being prepared in advance to deal with budget cuts contingency plans for seeking additional needed funds can be formulated and set in motion, if necessary. Moreover, being prepared well in advance at the agency level will allow notification of staff, in advance, of the consequences of budget cutbacks and aid in reducing the fears and suspicions generated by uncertainty and rumor. Awareness of future budget cuts can be used to stimulate discussion and ideas regarding ways to minimize losses. It is suggested, for example, that probation agencies can, in the face of reduced resources, work with other private and public agencies facing similar cutbacks, serving similar types of clientele to develop cooperative, coordinated arrangements to consolidate services through the development of a consortium of agencies designed to eliminate duplication of services

and share resources such as equipment, personnel, and space. Such arrangements could be made locally or regionally and be implemented in phases over several years to ease the transition.

Cost savings can also be realized through better short-term planning. Frequent review of procedures and purchases can eliminate duplication of effort and waste. Coordinating supply purchases with other agencies or less frequent but larger orders of supplies within the agency may result in reduced prices for larger quantities. Installation of new phone systems may be cheaper than traditional services currently in use. Coordination of travel by staff to eliminate unnecessary travel and encourage consolidation of travel can also result in time, manpower and monetary savings.

Another approach suggested is to reconsider the probation function in light of limited resources and establish a priority list of tasks currently performed by probation. Once the priorities have been established determine which tasks on the list are not essential and which tasks could be assumed by other agencies. Those determined to be non-essential can be eliminated while those that could be handled by other agencies can be provided through referral to these agencies. Only those tasks deemed essential would then remain for probation to deal with. Proponents of this approach suggest that the field of probation must be realistic in understanding that limited resources necessarily result in limited services and that as resources continue to be more limited essential tasks from the priority list may need to be eliminated in the future. Those suggesting this approach indicate that probation should publicly acknowledge cutbacks in services and detail the reasons prompting the cutbacks. Additionally, they argue that trying to perform "more with less" will result in less effective and efficient services in all areas resulting in greater harm to the field of probation than providing quality services even though limited in scope.

With regards to staffing problems a number of approaches to be implemented in-house are suggested. The most frequently mentioned among these is to develop and implement volunteer and student intern programs to assist in-house staff in performing their duties. This strategy is generally seen as a way to maintain the level of services in the face of budget cuts at minimal costs for training and supervising interns and volunteers. Cross training of staff to perform a variety of functions is suggested as a way to avoid loss of staff while at the same time maintaining services provided. It is suggested that staffing patterns be reassessed with an eye toward staffing agencies with the lowest level staff competent to perform the tasks as well as reassigning tasks along these same lines where hiring freezes are in effect and manpower shortages exist.

Additional in-house cost saving measures suggested include redefining employee compensation to include increased leave-time in lieu of pay raises, modified work schedules such as four day work weeks, reduced emphasis on one to one supervision in favor of team supervision and group counseling, and reassessment of training mandates to eliminate unnecessary training expenses and use of local professionals who would volunteer time to train staff in specific areas of need.

In seeking additional sources of funding the most frequent suggestions to look to the probationers to assume more financial responsibility for the processing of their cases. Several types of fees are suggested. The most common is a general fee in a specified uniform amount to be charged on a monthly basis to all but the most impoverished probationers. Another fee suggested calls for fees to be introduced for collection of restitution, fines, court costs etc. to cover the costs of administration for these services. Also suggested is the charging of fees to persons diverted pre-trial and placed under the jurisdiction of probation as well as charging probationers in community facilities for room and board to the extent that they have the ability to pay these costs. Additionally, fees could be imposed for such activities as sealing records, expunging records, record checks and so on.

Other revenue raising suggestions call for legislation to earmark a designated portion of local tax money on specific products for use by probation or special probation programs. For example, a portion of the tax on liquor sales could be targeted for use in alcohol treatment related programs or a portion of marriage license fees targeted for assisting domestic violence or family crisis centers. Introduction of legislation to require state subsidies based on a fixed cost per probationer is also frequently suggested.

In more general terms it is suggested that more research needs to be undertaken by probation at the local and national level to identify potential sources of public and private funds that are to date untapped. Along these lines it is offered that probation needs to be more aggressive in pursuing support for more resources. Public relations campaigns designed to increase support through documented cost savings and efficiency and effectiveness comparisons with other correctional alternatives need to be promoted. Professional lobbyist can be employed to work with the public and the legislature in this regard. Additionally, probation agencies can cultivate working relationships with funding agencies and develop expertise in grant preparation to raise additional, though usually temporary, funds.

Working Paper #3
Community Resources

Statement of the Issue: Community resources, for a variety of reasons, are becoming increasingly scarce. Services that were provided previously for no charge are more often being offered for a fee. Moreover, some community service agencies refuse to accept persons with criminal records regardless of severity. Resources for dealing with special problems such as mentally or emotionally disturbed individuals or the physically handicapped are especially inadequate and costly in the non-urban areas. Lack of attention to coordination of services among community resource agencies frequently results in duplication of services and unavailability of other services needed.

Proposed Strategies for Resolution: Three general categories of strategies for addressing the issue of community resources are proposed. Approaches discussed first are concerned with identifying available resources. Next we look at various avenues of coordinating and obtaining needed services for probation. Various mechanisms for paying for needed services are considered last.

It is suggested that the perceived scarcity of community resources available to provide collateral services may be more a function of lack of knowledge of available sources for such services than it is a function of the actual unavailability of these resources. Regardless of whether the scarcity of community resources is based on fact or perception, it is suggested that the starting point for effective provision of services is a comprehensive effort to identify all available resources that provide services that are needed at the present time or in the foreseeable future. One approach to be used in identifying available resources calls for designating one or more probation staff as a community resource liaison with responsibility for identifying presently existing resources as well as monitoring and identifying resources that become available in the future. A second approach suggests moving outside of the probation agency and placing the responsibility for identifying resources on the larger community through the creation of a community task force comprised of probation staff, staff from other agencies seeking similar services, and staff from known community resource organizations such as the local United Way. This second approach might be modified to include recognized community and business leaders as well.

Suggested methods for the identification of resources include reviewing existing directories of services compiled by various community organizations and local agencies, surveys of community organizations, fraternal associations, businesses, and local agencies aimed at identifying organizations providing services and the nature of these services, and perusal of the telephone directory. Additionally, it is suggested that a public notice be placed in local newspapers and professional journals describing the services sought and requesting anyone knowing of resources to meet these needs or anyone capable of providing these services to notify the liaison or task force.

Once community resources are identified the information can be included in a comprehensive directory of services. Directories should include the name of the organization, the address and phone number, a contact person, a listing of the services provided, charges for services and the criteria the organization has established for accepting or rejecting referrals. To further assist users of the directory it could be organized by regions of the community and nature of services provided with cross-listing for ease of use. The directory can be widely disseminated with costs shared by various public and private agencies, organizations, and businesses. The directory should be regularly updated to avoid inappropriate referrals and to include new services available in the community and to eliminate services no longer provided.

Identification of resources and publication of a directory of available services are seen by many as the first steps in effective delivery of collateral services. The most frequently cited problem thereafter is the lack of coordination of services in the community. It is suggested that a tremendous amount of duplication of services results from the lack of coordination and that the duplicated services often share the same funding sources. It is argued, services not available currently could be made available with the money saved by reducing or eliminating duplicated services. To effect this change and broaden the scope of services provided the formation of community coordinating councils is advocated.

Coordinating council members could include representatives from service providers, service users, and community and business leaders. Members of the council should be in a position of authority and be able to speak for the organization they represent in order to make the most effective use of the council. The coordinating council, it is proposed, could have as its goal the development of the widest possible range of services provided in the most cost-effective manner possible. Through council meetings the council could work together to reduce duplication and expand the scope of services provided. Additionally the council could provide a forum for discussion of problems and identification of evolving needs of the community and to work together to facilitate the resolution of problems and the development of resources to meet the needs of the community.

Short of implementing a coordinating council a variety of other approaches to more effective service delivery are suggested. One suggestion is for probation agencies to train staff in the various areas of needed services and provide all services in-house. Realizing that this may not be feasible because of manpower and monetary constraints, it is suggested, that all services to be provided be provided in-house but only after a re-evaluation and prioritization of services available in-house is undertaken and those services determined to be not directly related to addressing criminal behavior are eliminated. Services can be obtained through the use of students, college and university programs and professional and trade organizations who volunteer time and expertise. Additionally, it is suggested that probation agencies from neighboring jurisdictions join together to

form regional multi-service centers or share resources by having service providers travel throughout the region on a regular basis. It is also suggested that probationers look to probationers with needed skills to provide assistance to other probationers in exchange for time off the sentence or as community service as a condition of probation.

Various methods of raising funds to pay for services are suggested. Most common among these suggestions is to charge probationers for services used when the probationers have the ability to pay. This, of course, can get quite expensive for the probationer if several services are required. Another suggested approach calls for imposing a fee on all probationers regardless of whether they make use of services available. Here the fees paid by all probationers would be used to defray the cost of services when provided to indigents. A third alternative along the same lines calls for establishing a not-for-profit corporation to which each probationer would as a condition of probation contribute a set amount each month and the monies collected would then be distributed to local service organizations on a prorated basis depending on the number of probationers served by the organization.

Moving the burden from the probationer to the taxpayer, it is suggested that a portion of the tax paid for certain items be designated through legislation to be used for maintaining community programs. For example, a portion of the tax collected for liquor sales could be used to defray the costs of alcohol treatment programs.

It is also suggested that some of the burden for paying for services be shifted to other branches of the criminal justice system. This is regarded as being particularly appropriate when service referrals are specifically indicated in the sentencing order as a condition of probation such as when a judge requires a defendant to obtain counseling for problems related to substance abuse. Similarly, it is suggested that the state be required through legislation or provide adequate funds to cover costs of state mandated programs.

Another strategy suggested is to research the interests of local corporations to identify social programs of interest to the company. Once these have been identified the corporations should be approached to investigate the possibility of the corporations providing financial and, when possible, technical support for delivery of services. This can be made more attractive to the extent that these contributions are tax deductible.

Additionally, it is suggested that probation agencies begin to look regularly to cover costs through insurance coverage of probationers. Many medical insurance plans provided through the probationer's employer will cover expenses for counseling and treatment. When insurance coverage is available to the probationers services should be sought from facilities covered through insurance.

More general suggestions for obtaining funding for service programs include conducting research to demonstrate the effectiveness of programs which can in turn be used to support the funding of programs, forming alliances with community resource organizations and lobbying for legislation addressing issues of mutual concern and encouraging probation staff to become involved in fund raising activities of organizations providing services for probationers.

Working Paper #4
Salaries, Benefits and Promotions

Statement of the Issue: Salaries and benefits are generally considered to be inadequate and opportunities for advancement through promotions are believed to be too infrequent or non-existent. These conditions, consequently, result in the inability to attract and keep highly qualified and motivated people in the field of probation. The near absence of the potential for better salaries, improved benefits and promotions provides little incentive for personal and professional development among probation staff. Dissatisfaction with the current levels of salaries, benefits and promotions and little hope for improvement in the near future results in low morale increased frustration, and high turn-over among staff as well as less than the best qualified individuals being attracted to probation positions.

Proposed Strategies for Resolution: Strategies suggested for addressing this issue focus on improving the status of probation as an occupation, increasing job satisfaction among probation personnel, creating alternatives to financial compensation, and increasing opportunities for better salaries, benefits and promotions.

It is generally agreed that by improving the status of probation as an occupation better salaries and benefits and more promotional opportunities will follow naturally and problems regarding morale, frustration and staff turn-over will be, to a large extent, resolved. It is suggested that the status of probation can be enhanced by nurturing a strong professional identity nationwide and that this can best be achieved through the promotion and growth of a strong national leadership for probation in the form of a national organization of probation professionals. This national probation organization, if it is offered, should lobby at the federal, state and local levels to promote legislation in the best interest of the profession. The national leadership organization should assume responsibility for establishing minimum requirements for probation positions and in-service training, promulgating criteria for certification of probation staff, and encouraging the development of a new academic discipline for probation recognizing probation as an emerging profession in its own right. Additionally, it is suggested that the national organization research and develop models aimed at increasing the potential for better salaries and benefits and promotional opportunities to be adopted by probation agencies across the country.

Approaches aimed at increasing job satisfaction among probation personnel cover a wide range of possibilities. Most frequently suggested among these approaches are ways to allow personal and professional development of staff. It is suggested, for example, that staff be allowed a minimum percentage of time for involvement in educational and training programs each year beyond the training required by the agency. Efforts to develop programs to increase specialization are

also suggested. Development of job rotation programs allowing for frequent lateral movement of staff to different assignments can, it is suggested, benefit both individual staff and the agency. Similarly, developing and participating in staff exchange programs with other related agencies or probation agencies from other jurisdictions can help to alleviate some of problems enumerated above as well as provide a new source of ideas for change. It is also frequently suggested that job satisfaction can be enhanced through greater involvement of staff in management and policy decisions. By involving staff in planning and decision-making activities their stake in the job increases and the sense of participation and ownership lead to increased satisfaction. Introducing some form of participatory management is one approach suggested along these lines. Another suggestion is to establish regular meetings of staff and management to air grievances and work together for mutually satisfactory solutions to problems. Additionally, it is suggested that a great deal could be done to improve the level of job satisfaction by simply providing probation staff with more comfortable working environments with modern equipment and adequate clerical assistance and supplies.

A number of suggestions for increasing the resources available for salaries and benefits are suggested such as charging monthly probation fees, charging fees for specific services provided, lobbying the legislature for larger appropriations and methods for cutting costs to make more money available for salaries and benefits. These approaches (discussed in Working Paper #2) are for the most part viewed as desirable though not particularly feasible given the current trend toward fiscal conservatism. Consequently several alternative forms of compensation have been suggested. The most common suggestion is to increase personal leave time in lieu of salary increases. This, it is suggested, could be used routinely with all staff where raises are not possible or as a form of bonus awarded in recognition of outstanding job performance. Additionally, leave time can be used to compensate staff for professional advancement such as the completion of an advanced degree or training program. In addition to leave time it is suggested that flexibility in work schedules would enhance job satisfaction and decrease the effects of no or only small raises while at the same time providing staff more time to pursue personal and professional interests. Similarly, it is suggested, that the use of formal letters of commendation and certificates of achievement perhaps accompanied by small monetary bonuses or increases leave time would serve to increase satisfaction and ease the effects of limited salary increases.

The majority of approaches suggested are aimed at increasing promotional opportunities and encouraging advancement of individuals through monetary incentives. The most basic approach calls for requiring the filling of all positions beyond entry level from within the agency thus allowing in-house staff the chance for promotion. It is also suggested that in order to increase promotional opportunities new job titles be created through various mechanisms. One approach is to reduce the number of steps at the various staff levels and

create new titles so that instead of having Probation Officer I, II and III levels there might be six levels with gradually increasing responsibilities. Another approach calls for creating new positions through specialization of function and giving higher status to the more technical specialities. Also suggested is the creation of new job titles through the development of program grants. Promotional opportunities can be increased as well, it is suggested, by offering incentives to older staff for early retirement. Where promotional opportunities still remain scarce it is suggested that salary raises be used in lieu of promotions and that salary steps be increased at each level to allow for pay advances. Several suggestions offer staff performance evaluations be introduced and promotion and raises be based on performance ratings rather than longevity. Along these lines it is suggested that efforts to displace the civil service system be initiated in favor of a merit system. Proponents of this argue that the civil service system perpetuates mediocrity and reduces motivation while a merit system would encourage professional development and reward those who have demonstrated competence and initiative. Additionally, it is suggested, that reorganizing probation to be administered at the state or regional level would allow more opportunity for advancement and benefits.

More generally, suggestions for improving salaries, benefits and promotions and addressing the issues related to these include, monetary incentives for advancing job skills, more participation by staff in decision-making, pooling of resources such as benefit money to allow investment in high return markets initially requiring large sums of money, creation of more adequate standards for probation personnel, a need for more clearly defined goals for probation to reduce frustration, and the initiation of a large scale public relations campaign to attract the attention of the public and convince the public of the need for more resources for probation to attract and keep well qualified personnel.

Working Paper #5
Community Support

Statement of the Issue: Community support for probation is generally believed to be lacking. This results from a lack of understanding on the part of the community regarding the purposes of probation and the responsibilities of probation staff. Moreover, the community holds unrealistic expectations with respect to probation and consequently, views probation not as a punishment but rather as a display of leniency not meeting public expectations. It is believed that probation is generally regarded as a failure by the public and thus has little or no credibility in the public's eye. This is manifested in the lack of public support probation receives in the allocation of limited community resources both monetary and non-monetary. Additionally, it is believed that the uninformed public has a narrow and distorted view of the needs of offenders regarding many of the programs and services provided by probation agencies as unnecessary frills and coddling of offenders.

Proposed Strategies for Resolution: The strategies proposed to address the lack of community support are uniformly aimed at mounting massive public relation campaigns to educate the public regarding the purpose and function of probation, to involve the public in the field of probation and to better respond to the needs and demands of the community.

Educating the public is generally regarded as the cornerstone to developing strong, broad based support for probation in the community. It is suggested that a two pronged approach is needed in this educational process. On the one hand the community must understand the role of probation in the larger context of the criminal justice system and more specifically the area of corrections. On the other hand, the community must be made aware of the accomplishments of probation especially in relation to other correctional approaches. Parenthetically it should be noted that, the accomplishment of the first objective, it is suggested, may be troublesome given the absence of clearly defined and widely accepted mission and goal statements for probation.

Suggested approaches for educating the public along the lines indicated above call for increased and routine use of local, regional, and national media including radio, television, newspapers, and periodicals. Additionally, publication and dissemination of reports by probation on a regular basis is advocated, along with appearances by probation staff at various functions to speak about the role and accomplishments of probation. The latter suggestion could be put in place through the formation of a speakers bureau within the probation agency and an aggressive campaign to have speakers appear at local business luncheons, meetings of fraternal organizations, church organizations, and the like. Another suggested

approach is for probation agencies to stage special events and programs for the community such as crime fairs, open houses, and citizen observation programs through which citizens could observe probation officers on the job performing their routine duties.

Above all, it is suggested, that probation assume an aggressive proactive posture in seeking positive publicity to counter the negative publicity that often appears in the media. Positive, educational publicity should concentrate on dispelling inappropriate expectations held by the public, increasing the public awareness of services provided to victims and the community by probation, emphasizing the success of probation and cost savings involved relative to other dispositions, and, in general, making probation more visible and accountable to the public.

In conjunction with the efforts to educate the public about probation it is suggested that greater and more meaningful involvement of the public in the probation process can generate community support. Here it is suggested that the community be given the opportunity for involvement through the creation of community advisory boards and the expanded use of volunteers and interns in probation. It is believed that involvement of this nature can serve a variety of purposes serving the needs of probation. Initially, community involvement should work to increase the public's sense of ownership and stake in probation as well as providing a new source of information and ideas to be used in problem solving and generation of new programs. In addition, community involvement can go a long way toward meeting the educational goals outlined above. Community members working as volunteers and serving as advisors will learn more about probation themselves as well as serve formally and informally as public relations agents by sharing their knowledge with other members of the community. Finally, the involvement of the community can provide probation with feedback from the community that in turn can be used to identify potential problem areas and make probation more responsive to community needs.

Responding to the needs and demands of the community is viewed by many as a key element in enhancing community support for probation. It should be made clear from the outset, however, that responding to community needs and demands should not be carried to such an extent that the mission and goals of probation are compromised. Instead, it is argued, that the community be educated to understand the role of probation as legislated and the ways in which probation can meet the community needs within the parameters of this legislatively defined role.

Moreover, it is offered, that, by and large, probation presently responds to the needs of the community and that the problem, again relating back to the need for better public education, is a perceptual and awareness problem on the part of the community. Those persons subscribing to this position

suggest the need to educate the public in this regard while at the same time admit that there is a need to more visibly demonstrate that probation is concerned with responding to the public's needs.

Measures suggested to demonstrate probation's concern for meeting community needs are aimed primarily at opening avenues for communication and citizen input. One approach already mentioned is the creation of community advisory boards. An advisory board can serve a variety of functions. The board could serve as a direct link to the community as a disseminator of information and provider of feedback regarding community attitudes. Policy and procedure changes and programmatic developments could be reviewed by the board for modification and endorsement. The board could be instrumental in lobbying the community and legislature for support in implementing programs and maintaining adequate resources. Additionally, the creation of such a board can increase the credibility of probation and demonstrate probation's willingness to work with and be accountable to the community. Community responsiveness on the part of probation can be demonstrated as well, it is suggested, through the use of public forums designed to allow citizen's to air their grievances, to make suggestions or to simply ask questions regarding probation. Where advisory boards and public forums are utilized it is suggested that any actions taken in areas discussed with the community be publicized and the community input be emphasized to further demonstrate probation's responsiveness. Additionally, it is suggested that probation place more emphasis on probation services to the community and concern for public safety and place less emphasis on helping the offender when addressing the community. Similarly, it is believed by some, that probation should actively dispel the commonly held notion that probation is a nonsanction representing leniency and that probation is responsible for the kinds of offenders placed on probation. Here, it is suggested, that the onus be placed on the prosecutors and judges and the public be made aware that they have ultimate responsibility for sentencing. Thus, where probation appears to be inappropriately granted prosecutors and judges should be held accountable not probation.

Finally, it is suggested that probation seek to gain community support by encouraging local professional organizations to speak out in support of probation thereby lending credibility to probation, by encouraging probation staff to play a more active role in community organizations thus increasing visibility, and through the use of professional public relations experts to plan and assist in implementing a comprehensive public relations campaign.

Working Paper #6
Probation Mission and Goals

Statement of the Issue: Consensus regarding the appropriate mission and goals for probation does not exist at the local, state, and national level. The absence of a clearly defined mission and clearly defined goals leaves probation staff without guidance in the performance of their duties. This results in frustration and tension among staff and administrators. The absence of mission and goals allows the functions of probation to be dictated from outside the agency often resulting in inconsistent and/or counterproductive efforts being undertaken. Much of the responsibility for the lack of mission and goals is placed on the lack of initiative on the part of the probation leadership to assume an aggressive and proactive role in the formulation of a mission and goals.

Proposed Strategies for Resolution: There is no disagreement with respect to the need for a clearly defined mission for probation and the need for clearly defined goals aimed at carrying out the mission identified. There is disagreement, however, on two critical points in the debate centering on this issue. First there is disagreement as to whether the mission and goals for probation have already been adequately defined. One the one hand, there are those who argue that the issue of mission and goals is moot since the enabling legislation in all jurisdictions creating probation clearly defines probation's mission and the goals for carrying out this mission. Persons subscribing to this position suggest that legislative language such as "The purpose of probation is to protect the community and rehabilitate offenders" adequately defines probation's mission and goals and provides sufficient guidance for administrators and line staff to carry out their duties. On the other hand, there are those who argue that the legislatively defined mission and goals are so nebulous and broad that they give very little direction to the field with respect to the primary purpose of probation and the prioritization of the day to day functions and duties to be performed. Persons in the latter group argue that legislative pronouncements do not, in fact, define the role of probation but instead give probation agencies broad latitude to define the mission and goals of probation and set priorities in any way they choose. Consequently, the concept of probation has evolved in such a way that probation as practiced in one jurisdiction may be very different from probation as practiced in other jurisdictions. This state of affairs has resulted, it is argued, in probation losing its identity - a situation considered to be a major stumbling block in building and holding together a strong, unified coalition for advancing the causes of the field.

The second point of disagreement centers on the level at which mission and goal statements for probation should be promulgated. Three schools of thought have surfaced on this point. One school of thought proposes mission and goals statements should be formulated at

the national level to promote a uniformity of purpose and to set standards for probation across the country. The second school of thought favors the formulation of mission and goal statements at the state level regardless of whether probation is administered by the state or localities. Those subscribing to this approach believe there is a need for establishing a uniform purpose for probation but argue that to undertake such a task at the national level would not be feasible. They reject the formulation of mission and goals at the national level because they believe the diversity in the state legislation and local expectations regarding probation would, of necessity, prohibit nationally formulated statements from being specific enough to provide meaningful guidance at the state and local levels. Meaningful mission and goals statements, it is argued, could be formulated at the state level, however, that would be attuned to state legislation and community expectations. Persons subscribing to the third school of thought reject both national and state level formulation of mission and goals claiming that neither of these approaches can respond in other than broad, general terms to the needs and expectations of localities and therefore the formulation of mission and goals should be left in the province of local probation.

Having outlined the issue and major areas of debate we will now focus on the strategies offered for addressing the issue. Two specific approaches were suggested. Both of these approaches assume that the mission and goal statements would be promulgated at the national level and are presented here to reflect that assumption. Each of these approaches, however, could be modified for implementation at the state or local level.

One approach suggested calls for a national task force to be organized, possibly by the President through the Justice Department, that would be charged with the responsibility of formulating a detailed mission, and goals consistent with that mission, for dissemination nationwide. The second approach calls for the responsibility of formulating and disseminating the mission and goals statement to be assumed by a recognized national organization of probation professionals such as the American Probation and Parole Association or the American Correctional Association. Both of these approaches assume that the process employed will involve draft versions being widely disseminated, additional revised drafts prepared based on feedback and then again disseminated until a final version is completed that takes into account the concerns expressed by those who reviewed the drafts.

Regardless of which, if either, of these two approaches is adopted, it is suggested that there is a need for a considerable amount of groundwork to be undertaken prior to the promulgation of a mission for probation and the goals to carry out this mission. First, it is suggested that there is a need to identify the commonalities and differences that currently exist across the country at all jurisdictional levels, including federal, state, and local probation, with respect to

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legislation and administrative policies and procedures that reflect the mission and goals of the various probation agencies. This is necessary to determine the magnitude of the problem in order to develop a rational approach and to set appropriate objectives for addressing the issue. Next, it is suggested that a survey be conducted to identify what the public, the criminal justice community, and the probation community perceive to be the current mission and goals of probation as well as to identify the beliefs as to what probation's mission and goals ought to be. This, it is offered, will provide valuable information in defining the directions in which probation should move to be most responsive to the desires of the probation constituency. A third suggestion calls for the preparation and dissemination of position papers that present a well rounded discussion of the issues related to promulgating mission and goals for probation as well as model proposals of mission and goals statements that might be adopted by the field. With respect to the third suggestion it is cautioned that the field of probation will be best served through the representation of the widest possible range of positions and, therefore, care should be taken in selecting those persons who will engage in writing the position papers. Finally, it is suggested that an effort be made to determine, at least within the community of probation professionals, the perceived need for more clearly defined mission and goal statements and the level - national, state, or local - at which they should be formulated if the need is determined to exist.

Generally, there is agreement that the promulgation of mission and goal statements is critical as a basis for rational short and long range planning. Moreover, there is agreement, for the most part, that the formulation of a mission for probation should involve all levels of probation personnel. Some also suggest involving the public at large in the process to insure that probation responds to community needs. Finally, it is suggested that once the mission and goals are formulated an effort be made to monitor future changes in the field and modify the mission and goals as well as policies and procedures as necessitated by new developments in the field.