CORRECTIONS IN THE COMMUNITY

Edward J. Latessa Harry E. Allen

CORRECTIONS IN THE COMMUNITY

Edward J. Latessa

Professor and Division Head Division of Criminal Justice University of Cincinnati

Harry E. Allen

Professor Administration of Justice San Jose State University



anderson publishing co. p.o. box 1576 cincinnati, oh 45201-1576 (513) 421-4142

Corrections in the Community
Copyright © 1997 by Anderson Publishing Co./Cincinnati, OH
All rights reserved. No part of this book may be reproduced in any form or by any electronic or mechanical means including information storage and retrieval systems without permission in writing from the publisher.
ISBN 0-87084-236-6 Library of Congress Catalog Number 96-85370

Editor in Chief Kelly Grondin

Cover design by Edward Smith Design, Inc./New York City Cover photo credits: upper image (twisted bars): ©Comstock, Inc. lower image (housing): ©The Stock Market/David Sailors

Gail Eccleston Editor

Elizabeth A. Shipp Assistant Editor

Dedication

This book is dedicated to the Latessa children: Amy, Jennifer, Michael, and Allison.

Dad and Uncle Harry

Acknowledgments

Writing a book requires a great deal of help and support. We realize that it is a cliche to say that it could not have been possible without the following people, but truer words were never spoken.

There are many people who have allowed us to study and learn about community corrections. They all work in the field, and have contributed to our knowledge and experience. In particular we would like to thank the following:

Ed Kollin, Vince Polito, Bill Kroman, Dan Peterca, Dennis Dimatteo, Grafton Payne, Lauren Maio, Tom Muhleman, Jim Dare, Paul Ringer, Wendy Neihaus, Bruce Gibson, Larry Muse, Jim Wichtman, Candi Peters, Farhad Etessami, Brenda Peters, Glen Lammon, Bob Markin, Paul Ringer, Wendy Neihaus, Neal Tilow, Pam McClain, Larry Williams, Tom Berghausen, Bob Swisher, Evelyn Parks, Geno Natalucci-Persichetti, Linda Modry, Jack Reil, and Reggie Wilkinson.

At Anderson Publishing we have to thank Bill Simon for his faith and patience, especially his patience! The copy editing, proofing, and sundry tasks associated with the production of a book were in the very capable hands of Gail Eccleston—our sincere appreciation and gratitude. We would be remiss not to mention the assistance of Mickey Braswell, and the helpful review from Dr. John Whitehead at East Tennessee State University.

A number of graduate students at the University of Cincinnati assisted us (and put up with Ed Latessa) while we were finishing this book:

Melissa Moon, Eric Jefferis, Alex Holsinger, Julie Jodarski, Beth Sanders, Amy Stichman, Andy Thomas, Dean Hanley, Bill King. We wish them well with their careers, and hope they adopt the book!

A special word of thanks to Violet Hall, the Division Secretary for all her help and support.

To our colleagues and friends, without whose support and expertise this book would never have been possible:

Jerry Vito, Larry Travis, Frank Cullen, Bob Langworthy, Chris Eskridge, and Clifford Simonsen.

We also have to thank Amy, Jennifer, Michael, and Allison, who during the final push, sufficiently distracted us from the hard work of the book to remind us that life is wonderful.

Finally, to Sally, who supported, fed, and cared for us during a *very* long two-week period. We love you.

EJL & HEA

Preface

Writing a book on a topic as broad and dynamic as community corrections is a very difficult task. The field is changing rapidly and, as a result, information and data are quickly outdated. We believe that we have pulled together some of the most recent and salient information available, however, we accept responsibility for any errors or shortcomings. There are several caveats we would like to make concerning this book.

First, as you will undoubtedly note, definitions of terms are often repeated in different chapters. This was done intentionally to aid students by reemphasizing important information.

Second, there are a great many charts and tables with data. Memorizing the numbers is not important, they change daily. What is important are the trends over time. We want students to see patterns of what is happening in community corrections.

Third, you will also become aware of our bias. We believe that we incarcerate too many of our citizens—that this is not good social policy, and that they can be supervised in the community without seriously jeopardizing public safety. But, as our good friend Frank Cullen often says, "we are liberal, not stupid." We recognize that some offenders—those who are violent and would likely cause serious harm to others—belong in prison. We do not believe however, that all or even a majority of the million or so incarcerated fit that description.

Finally, there are many who believe that the ills confronting probation and parole are terminal. We do not believe that to be the case. While there is little doubt that the tasks confronting these correctional sanctions are daunting, we believe that the future of community corrections is bright and filled with promise.

Table of Contents in Brief

	Dedication iii Acknowledgments ν Preface νii
Chapter 1	The Criminal Justice System 1
Chapter 2	Sentencing and Community Corrections 19
Chapter 3	Sentencing and the Jail 41
Chapter 4	The Prison Institution 67
Chapter 5	The Historical Development of Probation 101
Chapter 6	Juvenile Probation 121
Chapter 7	The Development of Parole in America 139
Chapter 8	Granting Probation 163
Chapter 9	Granting Parole 205
Chapter 10	Roles of Probation and Parole Officers 247
Chapter 11	Case Management and Service Delivery Strategies 281
Chapter 12	Intermediate Sanctions: Intensive Supervision, Electronic Monitoring, and House Arrest 313
Chapter 13	Community Residential Correctional Programs 345
Chapter 14	The Effectiveness of Corrections in the Community 373
Chapter 15	The Future of Corrections in the Community 419
	Glossary 427
	Name Index 457
	Subject Index 465
	About the Authors 475

Table of Contents

Dedication iii Acknowledgments ν Preface ν ii	
Chapter 1 The Criminal Justice System Corrections in the Community 3 Probation in America 10 The U.S. Prison Population 11 Parole in America 14 Summary 16 Review Questions 16 Key Terms 17 Recommended Readings 17 Notes 17 References 17	1
Chapter 2 Sentencing and Community Corrections The Sentencing Decision 19 The Indeterminate Sentence 19 Rapid Change in Sentencing 23 New Goals 24 Reform Options 25 Reform Effects 27 Predicting Behavior 27 The Presentence Investigation 28 Determinate Sentencing 29 Problems in Setting Prison Terms 31 Summary 37 Review Questions 38 Key Terms 38 Recommended Readings 39 Note 39 References 39	9
Chapter 3 Sentencing and the Jail Contemporary Sentencing Practices 41 Sentencing Options 43 The Jail 44 Jail Facilities 46 Jail Inmates 48 Sentencing Options 51 Intermediate Controls 52 Fines 53 Day Fines 53 Community Service 53 Restitution 54	1

Day Reporting Centers 54 Probation 55 Intensive Supervised Probation 55 House Arrest 55 Electronic Monitoring 55 Community Residential Centers 56 Split Sentences 57 The Jail as the Center of Corrections 58 Exhibitionism 58 Drunk Driving 59 Summary 61 Review Questions 61 Key Terms 61 Recommended Readings 62 Notes 62 References 63	
Chapter 4 The Prison Institution	67
Purposes of Incarceration 67 Types of Prisons 71	
Inmate Population Growth 76	
The Bricks and Mortar Solution 83	
Alternatives to Prison Overcrowding 85 Back-End Solutions 85	
Early-Out Credits 87	
Extended Limits Options 88	
Boot Camp Programs 91	
Summary 94	
Review Questions 95 Key Terms 96	
Recommended Readings 96	
Notes 96	
References 97	
Chapter 5	
The Historical Development of Probation	101
Precursors of Probation 102	
Benefit of Clergy 102	
Judicial Reprieve 103	
Recognizance 104 Filing of Cases 104	
Founders of Probation 105	
Philosophical Bases of Probation 106	
The Growth of Probation 107	
Probation at the Federal Level 108 Recent Legal Developments 110	
Nature of Probation and Revocation 112	
Probation Conditions 112	
Supervision 112	
Remedies 113	

Summary 114 Review Questions 114 Key Terms 115 Recommended Readings 115 Notes 115 References 117	
Chapter 6 Juvenile Probation Historical Background 122 The Legal Rights of Juveniles 124 Kent v. United States 124 In re Gault 125 In re Winship 125 Criticisms of the Juvenile Court and Parens Patriae 127 Diversion of Juveniles 127 Deinstitutionalization 129 The Future of Juvenile Probation 131 Summary 132 Review Questions 132 Key Terms 132 Recommended Readings 132 Notes 132	121
Chapter 7 The Development of Parole in America The Roots of American Parole 139 The Rise of Early Prison Reform 144 Early Practices in Other Nations 146 Early American Practices 148 The Spread of Parole 151 Early Public Sentiments 153 Legal Challenges to Parole 155 Administrative Challenges 156 Summary 157 Review Questions 157 Key Terms 158 Recommended Readings 158	139
Notes 158 References 160 Chapter 8 Granting Probation Enabling Legislation 164 Granting Probation 167 The Presentence Investigation Report 169 Functions and Objectives 170 Content, Format, and Style 171 When to Prepare a PSI Report 176 Disclosure and Confidential Nature of the PSI Report Evaluation and Recommendation 177	163 176

Psychiatric and Psychological Reports 178 The Sentencing Hearing 179 Privately Commissioned Presentence Reports 180 Factors Related to Sentencing Decisions 181 Conditions of Probation 182 Probationer Fees 183 Restitution and Community Service 186 Alternative Probation Procedures 188 Deferred Prosecution Probation 188 Probation by Withholding Adjudication 189 Shock Probation 189 Combining Probation and Incarceration 191 Probation Revocation 192 Summary 195 Review Questions 197 Key Terms 198 Recommended Readings 198 Notes 198 References 199	
Chapter 9 Granting Parole Overview of the Parole Process 206 Current Operations 208 Parole Selection Process 210 Shock Parole 212 Factors Influencing Parole Decisions 213 Probability of Recidivism 214 Factors for Granting Parole Other Than Probability of Recidivism 215 Factors for Denying Parole Other Than Probability of Recidivism 215 Parole Board Release Decisions 218 Conditions of Parole 220	205
Parole Revocation 221 Problems With Parole Board Discretionary Power 224 Parole Board Decision-Making Guidelines: The U.S. Parole Commission Abolition of Parole? 233 Summary 240 Review Questions 241 Key Terms 241 Recommended Readings 242 Notes 242 References 243	225
Chapter 10 Roles of Probation and Parole Officers Responsibilities of Probation and Parole Agencies 247 Role Typologies 250 The Self-Image of Probation and Parole Officers 255 Social Work or Law Enforcement? 262 Beyond Punishment and Treatment? 265 Education and Training of Probation and Parole Officers 265	247

Summary 273 Review Questions 273 Key Terms 273 Recommended Readings 274 Notes 274 References 275	
Chapter 11 Case Management and Service Delivery Strategies Introduction 281 Caseload Assignment Models 283	281
Casework Supervision versus Brokerage Supervision 287 Casework Supervision 287	
Brokerage Supervision 290 Case Management Classification Systems 293	
Contracting for Services 298	
Contracting with the Client 300 Supervision Planning 301	
Federal Supervision Planning Example 301	
Use of Volunteers 306	
Scope of Services 307 Summary 308	
Review Questions 309	
Key Terms 309	
Recommended Readings 309	
Notes 309	
References 310	
Chapter 12	
Intermediate Sanctions: Intensive Supervision, Electronic Monitoring,	
and House Arrest	313
Intermediate Sanctions 313	
The Need for Intermediate Sanctions 315	
Intensive Supervision 316	
Issues in Intensive Supervision 319	
Day Fines 320 Home Detention 322	
Electronic Monitoring 324	
Community Residential Centers 328	
Shock Incarceration Programs 334	
Summary 338	
Review Questions 338	
Key Terms 339	
Recommended Readings 339	
Notes 339 References 341	
References 341	
Chapter 13	
Community Residential Correctional Programs	345
Historical Development of the Halfway House in America 346	
Uses of Halfway Houses 349	
Models of Community Residential Programs 351	

Metropolitan Residential Programs 357 Effectiveness of Community Residential Programs 364 The Future of Residential Community Corrections 366 Summary 367 Review Questions 367 Key Terms 368 Recommended Readings 368 Notes 368 References 370	
Chapter 14 The Effectiveness of Corrections in the Community Correctional Effectiveness 376 Parole Effectiveness 378 Preinstitutional Factors 378 Institutional Factors 380 Parole Release 382 Special Topic: Women 386 Special Topic: Murderers 386 Special Topic: Determinate Sentencing 387 Probation Effectiveness 390 Probation versus Alternative Dispositions 394 Probation Outcome 394 Probation Outcome and Statistics 397 Cost Effectiveness 400 Effective Interventions 404 Summary 405 Review Questions 408 Key Terms 409 Recommended Readings 409 Notes 409 References 410	373
Chapter 15 The Future of Corrections in the Community Introduction 419 Intermediate Sanctions 422 Public Acceptance 422 Creating Change 424 Establishing a Community Correctional System 424 Conclusion 425 Recommended Readings 426 Note 426 References 426	419
Glossary	427
Name Index	457
Subject Index	465
About the Authors	475

1

The Criminal Justice System

It is hard to identify the benefits inmates gain from prison, but the harm done there is readily seen. If you want to increase the crime problem, incite men to greater evil, and intensify criminal inclinations and proclivities, then lock violators up in prison for long periods, reduce their outside contacts, stigmatize them and block their lawful employment when released, all the while setting them at tutelage under the direction of more skilled and predatory criminals. I know of no better way to gain your ends than these.

-Harry Allen

Crime is everywhere, in all nations great and small and, in this nation, crime is a violation of criminal statutes passed by elected representatives. The statutes are enforced by a variety of social control agencies specifically designed to fulfill some desired social function. These agencies include law enforcement, prosecution, court, and post-adjudication components that include, among other major units, the probation and parole systems. These varied agencies and actions, along with their philosophical bases and objectives, are usually called the "criminal justice system."

No one imposed this unique blend of agencies on the nation. We invented them ourselves and, if there is something amiss with an agency or mission, it can be changed. One fact about the American criminal justice system is that it is rapidly evolving and changing as a result of the volume of crime, emerging national priorities, available funding, and changing political ideologies. Behaviors thought particularly heinous in one epoch may become regulated, if not accepted, behavior in another. The Great Experiment of Prohibition attempted to protect our national character and youth, increase productivity, lessen collateral problems or idleness and wastrel-like behavior, and improve the moral fiber of those using alcohol, but is no longer a national crusade. As a re-

sult, earlier twentieth century law enforcement efforts lapsed into a phase of tax-collection, and controlled-substance, concerned only in large part with keeping alcohol out of the hands of youthful consumers. So it is with the current War on Drugs.

One component of the criminal justice system is corrections, earlier defined as "post-adjudication processing of convicted criminal offenders." This definition, if it were ever adequate, probably best fits the correctional scene of the early twentieth century, when the major sentencing options available to sentencing courts were committing the offender to prison or granting probation. In fact, the study of post-adjudication processing of criminal law offenders was, until about 1969, commonly referred to as "penology."

The field of corrections, like most of the justice system, has undergone rapid change in the last three decades. Programs have been developed to allow prosecutors to suspend prosecution of alleged malefactors provided they became and remained actively involved in seeking personal development and rehabilitation under the "deferred prosecution" program. Pretrial detention of accused law violators is now rare, due to the development of personal recognizance programs that re-

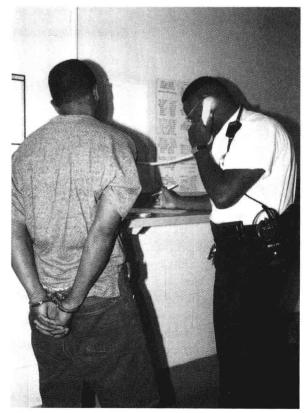


Photo 1.1 Booking in local jail. Photograph by Beth Sanders.

duced the importance of the bondsman in the pretrial portion of the system. In addition, the tools of technology have grown greatly in the last two decades, expanding probation supervision into conventional probation, intensive vised probation, house arrest (with or without electronic monitoring), community service, and restitution programs. There are even probation variations that combine serving a sentence in jail before probation begins, and several probation programs that require a period of imprisonment prior to return to the community under probation supervision! These latter programs, incidentally, are part of the "intermediate sanctions" that have emerged in the last 20 years: offender control programs that fall somewhere between probation and imprisonment.

What has corrections become? How can we best define it at the present time? For us, corrections is the social control agency that provides societal protection by providing incarceration and community supervision and rehabilitation services to persons accused or convicted of criminal law violating behavior. This definition includes pretrial diversion programs as well as the more traditional probation and parole services. It also embraces intermediate sanctions as well as alternative early-release programs for inmates in prisons across the nation. In sum, corrections is social control of persons whose behavior has brought them to the attention of the justice system. The missions, objectives, procedures, and even principles of corrections have undergone such rapid change recently that we are forced to expand the traditional definition of corrections to include the most recent developments. In another two decades, our current definition may be thought as outdated as the earlier one. We hope to suggest the emerging dimensions as your reading progresses.

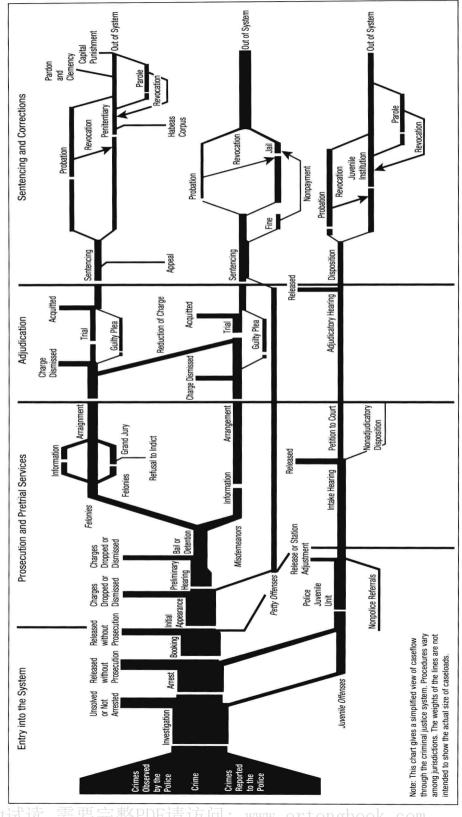
Corrections in the Community

This textbook describes and explains corrections in the community, or "community corrections." This term refers to numerous and diverse types of supervision, treatment, reintegration, control, and supportive programs for criminal law violators. Community corrections programs, as will be seen later, are designed for offenders at many levels of the juvenile and criminal justice systems. First, community corrections programs are found in the pre-adjudication level of the justice systems, and include diversion and pretrial release programs, as well as treatment programs provided by private sector agencies, particularly for juveniles (Latessa & Travis, 1991; Farrington, 1994; Tolan & Guerra, 1994).

As correctional clients move further into the justice system, community corrections programs have been developed and designed to minimize their further processing and penetration into the justice system. These pre-imprisonment programs include restitution, community services, active probation, intensive supervised probation, house arrest, and residential community facilities, such as halfway houses. (All these programs are described in detail in later chapters.) One assumption underlying the effort to minimize offender penetration into the justice system is that incarceration is less effective in reintegrating offenders and is unnecessarily expensive for the good attained. Another assumption is that community corrections is more humane, although there is some contemporary debate over whether corrections ought to be humane rather than harsh. Community corrections is no less effective in reducing recidivism than is the prison.

Community corrections continues after incarceration, (and in some cases is combined with incarceration)¹ and among the many programs found at this level are split sentences (jail followed by probation), shock

What is the Sequence of Events in the Criminal Justice System? Figure 1.1



Source: Adapted from The Challenge of Crime in a Free Society. President's Commission on Law Enforcement and Administration of Justice, 1967.