393 (S-184)

If you have issues viewing or accessing this file contact us at NCJRS.gov.

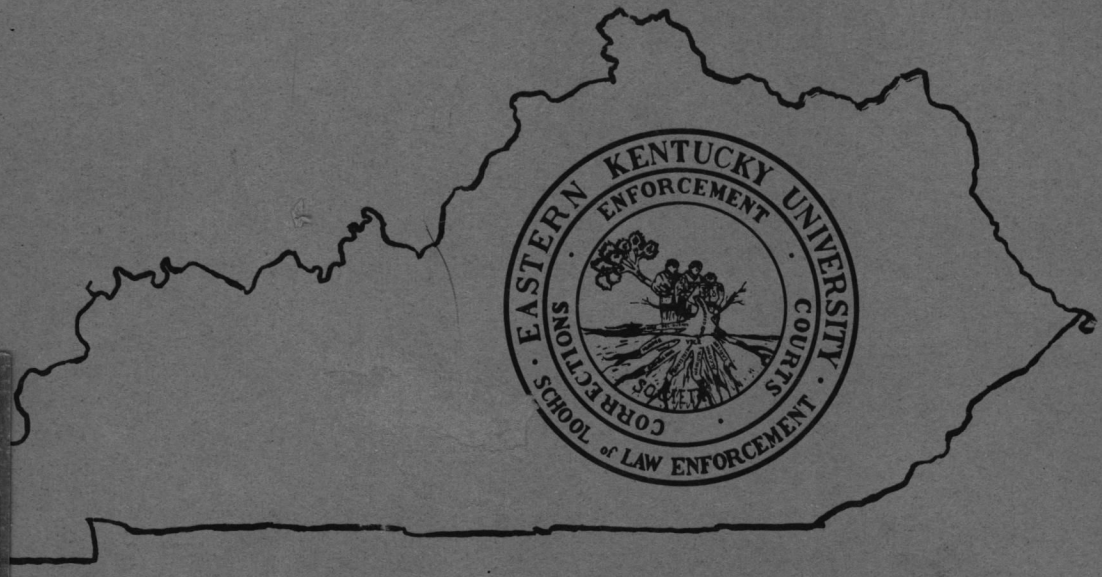
393

Final Report

on

In-service Training for Correctional Personnel

Answer to a Challenge



NCJ-001713
Study
Aid
Copy 1

Eastern Kentucky University

College of Applied Arts and Technology

School of Law Enforcement

August, 1969

Final Report

on

In-Service Training For Correctional Personnel

ANSWER TO A CHALLENGE

Eastern Kentucky University
College of Applied Arts and Technology

Brett D. Scott

Financed by
The Law Enforcement Assistance Administration
United States Department of Justice

INTRODUCTION

This writing is prepared as a supplement to Answer to a Challenge compiled by Eastern Kentucky University, School of Law Enforcement in August 1968. It is the purpose of this report to up-date the material included in the aforementioned writing of August 1968. This report is a follow-up of the developmental stage of an in-service training program for the Kentucky Department of Corrections personnel, financed through a grant from the United States Department of Justice, Law Enforcement Assistance Administration.

The program involved the development of training sessions for the benefit of correctional personnel throughout the State of Kentucky. The demographic study of correctional personnel in Kentucky, discussed in Chapter II of Answer to a Challenge pointed to the acute and continuing need for training of these personnel. For each training session, the most knowledgeable authorities in the particular field of instruction were recruited. Each was chosen on the basis of his experience, knowledge and skill in his topic as well as his ability to establish rapport with the trainees.

Since the programs speak for themselves as to the dates, locations, instructors, topics and time devoted to each topic

during the sessions, they are included in the body of this report.

Brett D. Scott
Director
Corrections Project

PREFACE

In bringing the presentations to this report we have attempted to keep them as near to their original form as possible. Some of the presentations are verbatim and some have been reconstructed from notes or outlines. Although some topics were given to two or more groups, the actual presentations varied as they were geared to the level of the personnel receiving the instructions. Prior to each presentation, the instructor was briefed on the age, job description and approximate educational level of the individuals in his class.

It was felt that this briefing would enable the instructor to better relate to the group, hence establishing better rapport.

In a program of this type, which has as one of its objectives, the up-grading of an entire system, the Eastern Kentucky University, School of Law Enforcement felt that training should be offered to all levels to personnel.

The School of Law Enforcement, in cooperation with the Kentucky State Department of Corrections offered to Management personnel, training in four areas. Those areas are as follows:

Responsibilities of Management Personnel in Public Relations
Principles of Management
Work Effectiveness - Basic Self or Unit Measuring Tools
Communications

To Mid-Management personnel, the following training was made available:

Personnel Evaluation
Responsibilities of Mid-Management Personnel in Public Relations
Communications
Work Effectiveness - Unit Measuring Tools

The following topics were presented to The Treatment Staff and The Correctional Officers and Matrons:

Theory of Crime and It's Causes
Human Behavior
Aggression and Violence
Prison Social Structure
Behavior Modifications
The Prison Personality
Disturbances in Prison
The Prison as a Rehabilitation Agency
Searches and Shakedowns
The Law and Its Effect on Prison Personnel
Individual Counseling

Four areas of training were made available to Probation and Parole Personnel. They were:

Individual and Group Counseling
Human Behavior
Public Relations
Community Resources

An evaluation of the presentation, by the personnel, has been placed immediately following the topic.

TABLE OF CONTENTS

	Page
INTRODUCTION	ii
PREFACE	iv
PUBLIC RELATIONS	1
Negative Factors	5
Positive Factors	8
PRINCIPLES OF MANAGEMENT	14
WORK EFFECTIVENESS - A BASIC SELF OR MEASURING TOOL	53
Benefit and Objectives	58
COMMUNICATIONS	78
PERSONNEL EVALUATION	94
Newer Approaches to Evaluation	103
Establishing an Evaluation Program	106
Value of Research	108
THEORY OF CRIME AND ITS CAUSES	109
HUMAN BEHAVIOR	122
AGGRESSION AND VIOLENCE	139
The Explanation of Aggression	146
The Control of Violence	149
PRISON SOCIAL STRUCTURE	154
Total Institutions	157
The Inmate System	174
Prison and Community	189

TABLE OF CONTENTS (cont'd)

	Page
BEHAVIOR MODIFICATIONS	198
THE PRISON PERSONALITY	210
DISTURBANCES IN PRISONS	222
Basic Causes	224
Measures of Prevention	228
THE PRISON AS A REHABILITATION AGENCY	236
SEARCHES AND SHAKEDOWNS	262
THE LAW AND ITS EFFECT ON PRISON PERSONNEL	271
INDIVIDUAL COUNSELING	288
Types of Counseling	291
Techniques to Use in Counseling	294
COMMUNITY RESOURCES	314
School of Law Enforcement	318
Kentucky Law Enforcement Council	318
Traffic Safety Institute - Breathalyzer	319
Department of Economic Security	320
Dismas House	321
Paul's Workshop	321
Department of Child Welfare	322
Department of Mental Health	323
Job Corps	323
Saluation Army	324
Jobs Now, Inc	324
ACCOMPLISHMENTS	325
EVALUATION OR FINDINGS	326
RECOMMENDATIONS	327

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Public Relations

Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

May 1969

Instructors - Bill Hickey and Mel Borland

Group - Mid-Management and Management

VITA

NAME: W. F. Hickey

POSITION: Public Relations Manager
Executive Department

EXPERIENCE: Manager of Directories
Sales Leader of Installations
Manager of various Central Offices
34 years service with South Central Bell Telephone Company.

NAME: M. B. BORLAND, SR.

POSITION: Public Relations Supervisor
Executive Department
South Central Bell Telephone Company
Louisville, Kentucky

EXPERIENCE: Various positions in Public Relations and the Communications Departments.
34 years service with South Central Bell Telephone Company.

RESPONSIBILITIES OF MANAGEMENT PERSONNEL IN PUBLIC RELATIONS

A. The importance of "selling the product (corrections).

   1. Public opinion is important.

B. Speech Making.

   1. Study your audience for a sign of some "common ground".

      a. Using this, established rapport with the audience.

   2. "Tell it like it is", don't evade issues because people dislike a "wishy-washy" speaker.

      a. Avoid open conflict by stating facts and allowing others to have their own opinions.

C. It is important that corrections personnel present a good personal image to the public because the public looks to them as leaders.

   1. Do you really believe in the worth of the corrections rehabilitation program?

      a. You cannot sell others on a product if you are not convinced of its usefullness.

METHODS OF ESTABLISHING COMMUNICATIONS - PUBLIC RELATIONS

Correctional, Probation, and Parole agencies reach into every section of our country and into every segment of our life. Their importance is impossible to assess in terms of figures, but is recognized as being considerable, far-reaching, and lasting. Unlike most businesses, your agencies operate very much in a goldfish bowl. By their very nature, welfare agencies are directly dependent upon public support and understanding. Some organizations may at times forget or ignore the general or specific publics and suffer no consequences. Agencies like yours, however, are dependent on public awareness of their existance and on public use of their services; in fact, without it you would have to curtail operations drastically.

Yet despite the fact that you need to know, understand and carry out public relations, you lag behind other groups in formulating acceptance of public relations. Rare, indeed, is the average agency that has a public relations director or staff person charged with public relations duties. Basic to the dilemma facing the executive who sees the need and value of public relations, very few can afford the cost of

staffing a public relations function. At the same time, it should be recognized that it costs nothing to develop a public relations consciousness. Of importance is the recognition the public relations is with us whether we want it or not. Public relations should be one of the basic considerations in shaping policies and actions. Recognizing this basic fact of public relations, we are still faced with the problem of a charted approach to public relations. Emphasis should be threefold:

(1) Evaluation of negative and positive factors
(2) Knowledge and understanding of help available
(3) Carrying out a plan of action

To the harassed officer, the most difficult part of public relations is the beginning. Unfortunately public relations is far too frequently relegated to the end of a busy day. As a result, it is observed in the negative.

Negative Factors

An important aspect of modern public relations is an acknowledgment of areas of weaknesses and an honest attempt to do something to eliminate them. This applies not merely to an agency's so-called "public relations", but to the core of the agency itself.

Herein is found a problem difficult to solve because

most people look at themselves through a mirror clouded with self-distortion. The same applies to organizations and the executives who run them. In business and industry, outside public relations counsel is hired to perform this often unpleasant task of focusing on negative factors that have brought on public disapproval.

Seeing Public Relations as a Fringe Activity. Rather than considering public relations as a basic and integral part of an agency's responsibility and task, many see it as a fringe activity. Many look upon public relations as the "something extra" that they have no time for. Agency executives, says Irving L. Rimer of the National Publicity Council for Health and Welfare Services, fail to recognize that public relations is "part of administration". Not really understanding public relations, they tend to ignore it as a proper function of their office. Public relations thus becomes the activity that is taken care of after all others have been tended to.

Undue Caution. Social workers have been overly cautious about trying to help people understand them and their agencies. This is particularly true of casework agencies which are faced with the problem of "confidentiality".

Like doctors and lawyers, casework executives often bring down an impenetrable curtain between themselves and the public. As a result, the public finds it knows almost nothing about the agency's work and objectives and all too often cares just as little about them.

Lack of Technical Skill and Experience. Having had little or no training in public relations, social and welfare agency personnel find they are unable to cope with public relations. As such agencies have the constant problem of budgeting for every essential service, public relations suffers because there is no one technically able to handle it. Public relations committees help bridge this gap, but often such committees exist in name only and are not sufficiently active.

What to do About Weaknesses. The main criticisms by national authorities indicate their feeling that many local executives err in thinking that public relations is a fringe activity, need not be considered a part of administration, and can be taken care of with little technical skill. All the weight of evidence and experience underscores the fact that public relations must be considered a vital part of daily administration, should be handled with skill and

foresight, and has to be cultivated deliberately.

If one were to search, then, for a starting point in public relations, it would be wise to follow the last-named suggestion and establish public relations as a part of daily adminsitration. No public relations program can even get off the ground if it is tied down by the archaic thought that public relations is "something extra". Once an agency executive recognizes this, he is well on the way to starting a sound public relations program.

Positive Factors

In planning any public relations, an assessment of strengths is just as important as a recognition of weaknesses. Local agency should understand and realize that they have some very powerful, vital, and sound public relations attributes. Most of these have to do with the nature of the agency and with the inherent worth of the services performed. Here are what the experts consider the main strengths of local agencies:

Services Performed for the Common Welfare. In public relations work, there is nothing so valuable as a good product. The "product" of social and welfare agencies is good, because it is performed for the good of the entire community. This is

a fact recognized by almost everyone, whether he has had contact with the agency or not.

Acceptance by the Community. Social and Welfare agencies not only have a good product to sell but are fully accepted as an integral part of the average community picture. Further, this community picture covers a nationwide canvas.

Solid Daily Service. The emphasis here is on "daily", for the social and welfare agencies are not one-shot organizations. They carry on a daily round of activities throughout the entire year.

Support by Volunteers. Not only do local agencies carry out daily services, but they reach all classes through the support given by the large number of volunteers working with them. Here, indeed, is a ready-made source of public relations activists who can "tell" the public relations story if properly oriented.

What to do About Strengths. The local agency's public relations foundation is a substantial one. Embedded firmly in the local community, the foundation of local agency public relations is compounded of solid daily services performed

for the common welfare.

Of tremendous help in agency public relations is the simple fact that social and welfare agencies perform valuable and needed deeds. Unlike some other groups in the community which must first set their house in order, the average agency is already doing and performing services valued by the community. The important thing is to capitalize and improve on this strength.

Self-probing for Weaknesses and Strengths

It seems appropriate at this point to underscore the thing that their check lists are generalized ones. These experts would be among the first to agree that the general can be made specific through the use of "deliberate listening" on the part of local agencies.

"Deliberate listening" can take many forms. Basically, it means that the local agency in attempting to discover its own public relations strengths and weaknesses, should make a studied effort at such assessment. This can be done in one of three ways: (1) self-evaluation by the agency's top executives; (2) outside evaluation by a volunteer group, such as a public

relations committee; (3) evaluation by the entire community through the medium of a public opinion poll.

The instructors concluded the Public Relations presentation by administering the Louis Harris and Associates questionnaire presented to the general public in 1967. This survey was conducted in conjunction with the Joint Commission on Correctional Manpower and Training to evaluate the image of Corrections.

The participants, upon completing the questionnaire, were given the findings of the survey so they could compare their responses with those of the public. Needless to say, the comparisons revealed the need to establish a public relations program.

MANAGEMENT AND MID-MANAGEMENT
PERSONNEL EVALUATION

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Do you feel the instructor was qualified to present the program?	7	3	1		
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	4	2	4	1	
3. Did the instructor:					
a. Stimulate interest in the subject matter?	5	3	2	1	
b. Show mastery of the subject matter?	4	4	2	1	
c. Present material in a clear and logical manner?	6	4	1		
d. Welcome questions?	10	1			
e. Answer questions adequately?	4	4	3		
f. Teach above participant's level?	4	2	2	2	1
g. Make the participant feel at ease?	6	4	1		
h. Speak clearly and distinctly?	9	1	1		
i. Attempt to cover too much material in the time available?	2	2	4	2	1
4. Was the video equipment used in his presentation effective?	7	2	2		
5. Are the following arrangements for the course satisfactory?					
a. time of day	6	5			
b. day of week	6	3	1		1
c. room (overnight accomodations)	4	6		1	
d. classrooms	4	4	2		1

Comments:

--No Comments.

6. Generally, what is your evaluation of the course Instruction?

--Very good considering physical conditions at the institution.
--The course within itself is adequate where applicable and where the personnel is capable of understanding and putting it into effect.
--The course is interesting and I feel that most days training are worthwhile.
--I think it was a very good course.
--Not relevant to present methods of recruiting, training or job standards.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	3	3	4	1	
2. Are the topics sufficiently stimulating to inspire further research into the subject?	3	6	1	1	
3. In your opinion was the course content broad enough (covered enough material)?	6	3	1	1	

4. Are there any subjects you wish to recommend for future curriculum building?

--Relationship among superiors.

5. Are there any specific instructors you wish to recommend for future consideration?

--No Comments

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	3	5	1		2
b. space	4	5	1		1

2. Do you have any suggestions in regard to facilities for future training sessions?

--I would like to have some trained sociologist speak to us on the trend of thinking. At this time, on the best method of handling emotionally disturbed inmates.
--Chairs and tables
--Adequate ventilation
--More than one exit
--Present less material and subject matter.
--Try to stimulate more participation by calling on individual participants and having list of names for instructor.
--Better classroom location if possible.

IV. Your constructive criticism is appreciated.

--No Comments

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Principles of Management

Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

December 1968

Instructors - David Meeks and Garland Clyce

Group - Mid-Management and Management

NAME: David M. Meeks

DEGREES EARNED: Lambuth College, Jackson, Tenneessee BS 1965
Major work done in areas of: Management and Economics
Minor work done in areas of: Marketing and Psychology

Memphis State University, Memphis, Tenneessee MBS 1966
Major: Management
Minor: Marketing

EXPERIENCE: Graduate Assistant - Management and Marketing Department
Memphis State University

Research Assistant - Bureau of Business and Economic Research
Memphis State University

Graduate Assistant - Bureau of Urban and Regional Development
Memphis State University

Management Consultant - Local Business Firms - Memphis

Marketing Consultant - Local Business Firms - Memphis

PUBLICATIONS: Graduate Assistant on Bureau of Business and Economic Publications. No individual publications to date.

PRESENTLY: Faculty at Eastern Kentucky University - Management and Finance.

NAME: Garland E. Clyce

DEGREES EARNED: Lambuth College, Jackson, Tenneessee BS 1966
Major work done in areas of: Management and Economics
Minor work done in areas of: Marketing and Psychology

Memphis State University, Memphis, Tenneessee MBS 1967
Major: Management
Minor: Marketing

EXPERIENCE: Graduate Assistant - Management and Marketing Department
Memphis State University

Research Assistant - Bureau of Business and Economic Research
Memphis State University

Graduate Assistant - Bureau of Urban and Regional Development
Memphis State University

Management Consultant - Local Business Firms - Memphis

Marketing Consultant - Local Business Firms - Memphis

PUBLICATIONS: Graduate Assistant on Bureau of Business and Economic Publications. No individual publications to date.

PRESENTLY: Faculty at Eastern Kentucky University - Management and Marketing.

PRINCIPLES OF MANAGEMENT

Planning is a familiar, everyday activity--the results of planning, or the ABSENCE of it can be seen all around us--certainly you can think of some examples of either appropriate prior planning and/or the lack of planning at all.

In fact, the desirability of planning is now widely recognized, so much so that its almost a fad to talk about planning even though the advocate may only have vague ideas about what's needed and how to get it.

To be an effective administrator then--we think there are some practical questions one must ask:

(1) What is really meant by planning, and how does it relate to other phases of administration?

(2) What are the different kinds of plans that may be useful, and what are the advantages of each?

(3) What are the practical limits on the extend and detail to which planning should be carried?

(4) What basic steps are necessary in developing a plan?

(5) How can executive planning be simplified?

(6) How are strategic and logistic factors in planning recognized?

As you will notice, these questions become the basis for our talk on planning.

Let's try and answer these questions then, making other points as we go along.

1. THE NATURE OF PLANNING--A WORKING DEFINITION. Generally speaking, planning is deciding in advance what is to be done; that is, a plan is a projected course of action. However, there is a difference in Plans and Judgments. Judgments, such as "wholesale prices may rise this year" may be necessary in arriving at plans...but they are not plans because they do not stipulate action to be taken.

2. RELATION OF PLANNING TO OTHER PHASES OF ADMINISTRATION. Once a plan is adopted, that is, a decision has been made and approved, the manager is free to move into other phases of his operation. Perhaps the plan requires modification in existing organization, or assembly of additional resources. Therefore, he will proceed to issue instructions for the execution of the plan--finally checking to see if any corrective action is necessary to fulfill the plan (this may lead to modifications in old or new plans) and this in turn starts a new cycle of planning, organizing, etc. Remember though (1) in actual operation this administrative cycle is no more regular than the so-called business cycle! A sharp separation of steps is more the exception than the Rule, and (2) each

administrator must decide what kinds of plans are practical for him to use in his particular enterprise.

3. TYPES OF ADMINISTRATIVE PLANS: Planning is a broad concept; it embraces a wide range of ideas. In fact, much of the current confusion in the area of "planning" arises partly because people use the same words to cover quite different concepts.

Let's clear up some of the misunderstanding by looking at three broad groups of Plans:

(A) Goals
(B) Single-Use Plans
(C) Standing Plans

A. Goals -- plans expressed as results to be achieved. In a broad sense, goals would include such things as objectives, purposes, missions, deadlines, targets, quotas, etc.

Purposes of Goals

(1) vital link in planning process

(2) aid in decentralization

(3) provide basis for voluntary coordination

(4) may become a focus for individual motivation

(5) essential elements in the process of control.

*Primarily we want to look on goals here as a type of planning.

Objectives

Every organization needs a clear statement of its objectives as a basis for all of its planning. Simply put--an airline must decide whether its primary objective is to carry passengers or freight before it can lay out its program.

SUPERORDINATE OBJECTIVE

SUBORDINATE OBJECTIVE

HIERARCHY OF OBJECTIVE

MEANS--END CHAIN

MULTIPLE OBJECTIVES

In your case here--to operate in anything but a haphazard manner--A clear statement(s) of purpose Universally understood by all as an outstanding guarantee of effective administration is necessary. "The mission must be defined."

Objectives must be more than words. They must have real meaning to the administration and all personnel (be "internalized"). Broad objectives must be translated into more specific sub-goals.

Good planning also requires recognition of objectives for the administration divisions as well as for the enterprise as a whole.

Time Goals incorporate the "when" with a deadline.

Remember--when setting up goals, there are some points to keep in mind so as not to be overly optimistic.

(1) Distinquish clearly between hopes and expectations.

(2) Set realistic short-run goals as stepping stones to more ideal long-run ends.

(3) Keep allowances in a separate reserve. (All goals do not need a safety cushion.

(4) Adjust short-run emphasis on sub-goals to secure balanced long-run results. (Can't give equal attention to all goals so give attention to ones most needing it.

HIERARCHY OF PLANS: What's been said so far I think points out the need for a well-defined structure of successive step progression for plan. In other words, a general objective should be accomplished by a whole series of more of which it is a part.

HOW GOALS CONTRIBUTE TO THE PLANNING PROCESS:

(1) Purposeful and integrated planning is made easier. Goals become a directing light for subsequent planning.

(2) Diverging and unproductive work is more likely to be avioded. Stressing objectives, missions, standards, etc. helps personnel to "keep their eye on the ball".

(3) Operating goals or standards can be used as building blocks in developing programs.

(4) Goals are necessary for administrative control--that is, the securing of results in accordance with plans.

Still in relation to our "practical" question concerning the types of plans and their advantages, let's look further at:

(1) Single-Use Plans
(2) Standing Plans

Once an objective has been set forth, you the executive must map out a course of action to fulfill the mission. In other words, PLAN to ACCOMPLISH THE TASK.

To plan with maximum efficiency, you should consider:

(a) What types of plans are most useful to you.

(b) How far will it pay to go in preparing such plans.

(c) What procedure to follow in arriving at your decisions.

Broadly speaking, you will make use of Single-Use of Standing plans. In reality though, your more likely to use some combination of these. So let's define each and then examine their variations so all can decide on the FORM planning will take.

A. Single-Use Plans (they lay out a course of action to fit a specific situation and are finished when the goal is reached.

VARIATIONS OF, OR TYPES:

(1) Major Programs:

A major program shows the principal steps that need to be taken in accomplishing an objective who will be accountable for each step and the approximate timing of each. Remember, considerable effort is required to design a good, comprehensive program, and the administrator should understand its nature and benefits in order to decide whether its preparation is worth the trouble in his operations. By developing such a comprehensive program, you are often able to ANTICIPATE POSSIBLE trouble and arrange to meet these difficulties.

*Good reasons may exist why an executive does not set up major programs but the burden of proof should be on him if he fails to do so.

(2) Projects:

Projects are parts of major programs. They should be relatively separate and clear-cut,

and can be planned (and executed) as a distinct project. While detailed plans are not mandatory for each step in a project before starting on the first one, it's important to know what the steps are, understand the importance of each, the timing of each, and be able to explain to personnel the effects, changes, etc. of each. In this aspect of planning.

(3) Special Programs:

Are another type dealing with some phase of company operations but unlike projects, have no clear completion date or point. Instead they should cover continuing problems (with the result that plans have to be adjusted from time to time to take into account changing situations, etc.)

(4) Detail Plans:

Are exactly what they say -- "detailed" with precise completion dates and utmost control. Frequently devices such as charts, schedules, etc. are used in an effort to select the most

efficient way of performing each step in a series of operations.

*Detailed planning can reach a point of diminishing returns, so you must decide the areas of detail, its extent, and the potential "pay-off" to be realized.

At this point I hope you are wondering how do these types of single-use plans fit together or are they supposed to. The answer is YES. They must fit together into a consistent whole and in a HIERARCHY. A major program (#1) normally consists of a series of steps, and each of these steps becomes a project (#2) or a special program (#3). These projects in turn, are further subdivided into more specific assignments, narrowing down and perhaps becoming more detailed (#4).

In actual practice though, proceeding in just this way may not be practical--Why? Because maybe some of the more detailed plans may be so crucial they are settled first and the broader plans adjusted to them.

The ultimate hierarchy, regardless of how set up should fit together as parts and sub-parts--their purpose, nature and timing-dovetailing so that coordination results.

Quickly then, let's review any advantages we've found resulting from "advance planning" and single-use plans.

(1) Integrated and purposeful action is more readily achieved.

(2) Crises can be anticipated and delays avoided.

(3) More efficient method and procedures can be developed.

(4) Delegation of authority to act is facilitated. Communications...

(5) The groundwork for control is laid. (operating plans translated into anticipated results, become standards of performance.) STANDARDS...

B. Standing Plans: (designed to be used over and over again).

VARIATIONS OF, OR TYPES:

(1) Policies:

A general plan of action that guides members of the enterprise in the conduct of its operation. (i.e. preventive maintenance). Policies also helpful in securing consistency of action (clear cut "action outlined" guides - policies)

Every enterprise should establish a wide range of policies to cover the more important operations.

(2) Standard Operating Procedures:

Really it's hard to distinguish between methods and procedures but it is useful. Whereas a policy typically covers a Broad area, a Method normally deals with the way a policy is carried out.

We make the above distinction realizing that the real distinction depends on the position from which the operation is viewed.

Methods= concerned with a single operation

Procedures= a series of steps

A standard procedure should make sure that pertinent information flows to the people needing the data, and that each person involved understands what to do.

(3) Standard Methods:

Have received much attention in early and recent management writings. Basically, it centers around the "one best way" to perform any operation.

Needless to say-determining the one best way may be difficult but it is management's responsibility. (Decisions generating alternatives...)

> The use of a standard method not only contributes to the efficiency but often to the quality of work and its uniformity. (i.e. - the set way to iron and fold shirts at a laundry...)

Surely you've realized by now that strict adherence to these types of plans, by their very nature, can restrict freedom (be unflexible).

How do we achieve flexibility without sacrificing the benefits of this planning? Here are some suggestions:

(1) Provide for Prompt exceptions.

(2) Consider possible revisions regularly.

(3) Distinguish between rules and guides.

Advantages of Standing Plans:

(1) Executive effort is economized.

(2) Delegation of authority to act is facilitated.

(3) Use of the "one best way" is possible.

(4) Significant personnel economies are possible.

(5) Control is made easier.

(6) Coordination of activities is aided by a preliminary coordinator of plans--greater consistency and synchronization.

The Limits of Planning: To this point we have been looking mostly at advantages to be derived from planning. Of course there are some very practical limitations on the use of planning-and-one of your duties is to decide in light of the limitations, just how far to carry "the planning concepts".

Let's look then at such things as: (1) how far in advance and what detail should plans be made, (2) what are the things that make extensive planning impractical for long periods in advance, and (3) what can you do to overcome (or partially overcome) the limitations but yet secure the benefits?

Forecasts: Most business plans are based on a whole set of assumed conditions (i.e. the market, government controls, available personnel etc.) The plan though (or your plans) are useful only as long as the assumptions on which it is based prove substantially correct.

(Past Performance again!...)

To the extend that future conditions cannot be reliably forecast--the usefulness of planning may be questioned. (Political hang-up here! - government funding, etc.)

Perhaps the cardinal rule to keep in mind when talking about forecasting (pre-planning) is: The reliability of most forecasts diminishes rapidly as they are projected further into the future.

Although this sounds simple and really is--it's a fact that is commonly overlooked. But in your case (political appointees), I'm sure this becomes as much a problem as a fact.

HOW DO WE OVERCOME UNRELIABLE FORECASTS?

(1) Improve forecasting (exercise greater and/or lesser control, outside consulting.

(2) Detour around the areas of greatest uncertainty--the most common way is to separate those parts of the operation that will not be affected by the uncertain factor--and then make a tentative plan for the remaining segment in considerable detail. Then when or if the uncertainty is removed, the whole can easily be reconstructed.

These means of overcoming unreliable forecasts are at Best only Partial remedies.

Standing plans as you may have realized are useful only to the extend that an operating situation is repeated again and again. Therefore, your job as an administrator is made tougher if, because of changing situations, you can't use standing plans. We say this because it is known that standing plans can help relieve "executive pressure" and securing efficiency in operation.

So even if your situation doesn't lend itself to use of standing plans you can obtain some of the benefits of standing plans. (saying...even if can't fully use standing plans -- still can partially employ it)

HOW?

(1) isolate any repetitive aspects of "the situation" and standardize the treatment of them--

(2) control "the situations" so that greater repetitiveness is present. (standard forms, etc...)

Remember that while standing plans for an entire operation would be a mistake; they still may be very helpful for parts of it. (Repetitive also as developing--habits, customs, etc...)

What about the Expenses of such planning as well as the Time requirements?

Planning is expensive and the advantages often may not warrant the expenditure. Well-developed plans usually do call for considerable gathering of facts and data. When, then, do we reach a breakeven point?

Considerable judgment is required in deciding when planning no longer pays its way.

Then we say, the balancing of expense and benefits should be done on an incremental basis. (Is additional expense greater or less than additional benefits?)

Time is another crucial factor and like expenses it can often or does often limit plans to the extent that a crucial situation or emergency will cast them aside. This is not to say that a need for prompt action becomes a limiting factor. The plans made in such a situation can be useful in the future if not used immediately.

Other "problems" centered around planning:

(1) Can stiffle individual initiative (thus producing conformity and not originality and creativity.)

(To overcome this dilemma -- PARTICIPATION -- not overlook operators know-how, etc.....)

There is a need for Balance. There is no formula telling how far ahead or to what detail to plan--nor will a single answer suffice. For each activity there are various types of plans that need considering in light of many things already discussed (benefits, limits, cost, time, etc.) Because plans are dependent one upon the other, a balance in the extend to which each is carried should be observed.

One of our very first questions was "How are strategic and logistic factors in planning recognized?" Let's look at that now. Very often these two aspects of planning are overlooked when they really should be thought of as permeating the entire planning structure.

Logistics--concerned with having the right resources available at the right place at the right time.

STEPS IN LOGISTIC ANALYSIS

1. Break the activities necessary to achieve the objectives into steps or parts.
2. Note the relationship between the parts (sequences, etc.)
3. Determine the resources necessary for each step.
4. Find out when each resource will be available.

5. Estimate the processing time for each step.

6. Assign definite dates to each step.

To the extend that logistics always involve a degree of uncertainty, include margins of safety and periodic revisions.

Strategy--used here to mean the adjustment of a plan to the anticipated reactions of those who will be affected by the plans. Whereas logistics deals more with time, quantities, etc., strategy deals more with the interactions of people. Therefore, you can't rely on intuition and/or habit in picking a strategy but the administrator must be aware of alternate strategies as well as recognized key factors in choosing a particular strategy for a specific situation.

Types of Strategies. Thus far we looked at the different types of plans available, some advantages and drawbacks. Now we should concern ourselves with the HOW aspect of planning--DECISION MAKING. Decision-Making involves four basic steps:

(1) Diagnose the problem properly (Problem not symptom)

(2) Conceive of one or more good solutions (alternatives--creativity).

(3) Project and compose the consequences of such alternatives.

(4) Evaluate these different consequences and select a course of action.

Aids in Decision-Making:

(1) Use standard parts.

(2) Plan within recognized limits.

(3) Identify satisfying levels of attainment.

(4) Consider major factors first.

Key areas fo ORGANIZING are:

(1) Departmentation

(2) Service Divisions

(3) Process of Delegation

(4) Role of Staff (Line/Staff)

(5) Decentralization

(6) Use of Committees

(7) Span of Supervision

(8) Organization Structure

The administrative process of organizing consists of:

(1) Dividing and grouping work to be done into individual jobs.

(2) Defining the established relationships between individuals filling these jobs.

KEY QUESTIONS:

1. How should activities be divided into groups for purposes of administration?

    a. What guides should be used in assigning activities to departments?

b. What service divisions should be created?

2. What relationships between individuals should be formally established?

   a. How many authority be delegated?

   b. Use of staff?

   c. How much decentralization is desirable?

3. Are special provisions needed to knit the enterprise into a working unit?

   a. What roles assigned to committees?

   b. Functions for the board of directors?

4. What should be the over-all organizational structure?

   a. How related to strategy?

   b. Span of supervisions--limits on it?

   c. Over-all balanced and workable structure?

DEPARTMENTATION

The process of grouping activities into units for purposes of administration--this takes place at all levels in an enterprise.

different department patterns:

by products, territories, time, customers, functions, location, processes, etc.

inadequacy of these patterns: Most organizations are composites, etc....At Best - only emphasize dominant characteristics of a division or department.

What activities should be included within the department?

One way is to identify the vital operational factors and then make combinations of activities that give optimum results in terms of these factors.

Key considerations in departmentation are guiding considerations in department problems:

1. Take advantage of specialization (discuss functional specialists).
2. Facilitate control ("deadly parallel", "clean break")
3. Aid in coordination (common objectives, etc.)
4. Secure adequate attention (too many duties)
5. Recognize local conditions (informal groups)
6. Reduce expense.

SERVICE DIVISIONS

Essentially service units--justified in that they assist the operating departments to work more economically and/or effectively.

Fundamental Issues arising in connection with service divisions:

1. Can the particular activity be separated advantageously from basic operations?
2. How should or should the separated activity be combined and/or attached?
3. What is relationship between auxiliary unit and other parts of the organization?

Advantages of service division:

1. Advantage of specialization.

2. Secure adequate attention.

Disadvantages of service divisions:

1. Problem of coordination.
2. Problem of overhead expense.
3. Provincial thinking.

Place of service unit in organizations:

Depends on: 1. number of units established
2. importance of it to the "whole"
3. ease of coordination
4. single-central-local-multiple?

PROCESS OF DELEGATION

Why have delegation? Need for clear relationships?

Types of Authority:

legal, technical, ultimate, operational

Nature of Delegation:

1. simple to complex
2. man to man to man

Three aspects of Delegation:

1. assignment of duties to subordinates.
2. granting of permission (authority) to make committments and use resources to perform duties.
3. creation of an obligation (responsibility) to perform duties satisfactorily.

Limits of Authority:

1. General - company policy, etc.

2. Specific - i.e. job descision limitations

3. Inherent - amount employee will accept

Principles of Delegation:

1. Responsibility cannot be delegated.

2. Dual subordination must be avoided.

3. Authority and responsibility co-extensive and contermnous.

ROLE OF STAFF (Line/Staff)

The concept of staff ("assistant to")

advise, coordinate, assist, information

work the executive would do if he had time (and sometimes the specialized knowledge)

Special Staff

General Staff

Other Types

Advantages of Staff

Disadvantages of Staff

Requisites for successful staff work:

line/staff controversies, etc.

Functional Authority:

1. meaning

2. limits

3. when to use

Definition of functional authority:

Permission to prepare and issue directions with respect to a specified group of activities, or aspects of certain activities; except for the sourse of issuances such orders are to be treated as though they came form the principle executive himself.

Concerned only with the issuance of technical directions by one executive to people who are under someone elses' line supervision.

Limits:

1. may overburden operating people
2. may become inconsistent
3. may weaken the influence of the line supervisor
4. may lead to autocratic and inflexible administration.

When to Use:

1. When only a minor aspect of a total operating job is covered.
2. When technical or specialized knowledge is needed.
3. Maybe when uniform action in several operating units is needed.

DECENTRALIZATION

The central issue (adm. point of view) is authority to plan--who in the organization hierarchy decides what is to be done? Has impact on tightness or looseness of control, the extent of planning and the manner of supervision.

Key Questions:

1. What degree of decentralization is desirable?
2. What are obstacles to achieving effective decentralization; how overcome?

3. When is profit decentralization feasible and desirable?

How much decentralization desirable:

1. centralized administration
2. limited decentralization
3. delegated authority
4. bottom-up administration
5. no standard pattern

Appropriate Degree:

1. Who knows the facts on which the decision will be based?
2. Who has capacity to make sound decisions?
3. Must the local activity be coordinated with other activities?
4. How significant is the decision?
5. Could initiative and moral be improved by decentralization?

Reluctance to Delegate -- Why?

Why subordinates avoid responsibility?

Profit Decentralization--company split up into product or regional divisions, each responsible for its own profit and/or loss.

COMMITTEES

Consist of a group of people specifically designated to perform some administrative act. It functions only as a group and requires the free interchange of ideas. Membership on part-time assignment.

Advantages of committee:

1. provide integrated group judgment
2. promote coordination
3. secure cooperation in execution of plans
4. train members and obtain continuity of thinking

(Rarely provide all these benefits--usually takes more than one committee to achieve these.)

Limits:

1. slow and expensive
2. divided responsibility
3. danger of compromise decision

When to use:

1. When wide divergence of information is needed.
2. When sound judgment of several qualified people needed.
3. When successful execution of decisions depends upon full understanding of their ramifications.

Unfavorable to use:

1. when speed is vital
2. when decision is not particularly important
3. when qualified people not available
4. when the problem is one of execution rather than decision.

Suggestions for effective committee:

1. Define duties and authority of the committee clearly.
2. Select members carefully.

3. Support committee with necessary staff help.

4. Appoint right chairman.

SPAN OF SUPERVISION

How many employees can be adequately and effectively supervised by a single executive?

Factors limiting the effective span of supervision:

1. time and energy

2. mental capacity and personal adaptability

3. complex supervisory situation

Objections to increasing the number of executives and levels of supervision:

1. inaccuracy of communication

2. inflexibility

3. danger of layering

4. expense of supervision

5. effect on morale

Guides to an optimum span:

1. variety and importance of activities supervised

2. his other duties

3. stability of operations

4. capacity of subordinates and degree of delegation

5. leadership patterns

ORGANIZATION STRUCTURE

Its importance and significance--- Relate to strategy--- in designing structure, one starts with its objectives.

To develop--must consider:

1. Primary departmentation--the major operating divisions into which the work can best be divided.

2. Focus of operating authority: the units and levels at which most operating decisions will be made.

3. Facilitating units: (service divisions)--those needed to assist primary operating units.

4. Adequate provision for top-management functions.

5. Structural arrangements--even strata, parallel departmentation, etc.

Need for Balance:

Ways of describing organization:

ADMINISTRATIVE FUNCTION OF CONTROL: Thus far we have described and discussed a somewhat continuing cycle of P - O - D, etc. Now we need to look at Control.

Control relies on the other phases of administration. In other words, unless you follow sound administrative policies in planning, organizing, etc., there is no such thing as control (good control).

A well-conceived program, workable policies and procedures, assembly of the necessary resources, training personnel, clear instructions and good communications--all contribute to better and easier control.

Let's look then first at the Steps in the Control Process.

1. Set Standards.
2. Check and report on performance (Compare actual vs. planned performance.)
3. Take corrective action.

Above process requires Feedback (reports, etc.)

Setting Standards theoretically is a simple task! As we said earlier, planning required objectives and goals. They are the results one hopes to achieve. The general objectives of the company are broken down into objectives for individual

departments and sections (as discussed in planning and organizing). From these, more specific figures and goals are developed (budgets, cash disbursements, etc.) and these then become the standards for purposes of control. Once these standards are established we cannot move to phase two, checking and reporting on performance, without taking two important steps:

1. If the control is to have an effective influence on performance, the administrator should make sure that the goals are properly identified with individual responsibility.

2. The administrator cannot review all aspects of performance, consequently he must select certain points that will give him an adequate indication of what is going on with only a limited expenditure of his time.

It may be difficult to tie control standards to individual responsibility, but remember it does no good to know (or criticize) about high telephone costs for example if the person responsible is either indeterminant (not knowing who made them) or has been told to do so. Clear-cut organization is an aid here. One can hardly emphasize the need for "control points" since the span of manager's jobs are so broad, etc.

What are some guides for selecting these strategic control points? There is no simple rule. The best to be said is that

they exhibit some of these characteristics:

1. Timely--catch deviations in time for constructive action.

2. Economical--often establish control over the process to insure control over the results.

3. Comprehensive--control points that summarize or consolidate several operations are useful such as overall expense figures that encompass other figures, etc.

4. Balanced--watch out for close control over one aspect and neglect on the part of another equally important aspect.

Comparing Actual With Planned Performance now requires consideration. Look at such questions as:

1. When checking should take place?

2. By whom?

3. How reported?

Use required confirmation sparingly--why this and not mere subsequent checking? There is added assurance that standards will be maintained.

Concentrate on the exceptions--we all realize that a large part of the activities of any organization must proceed without waiting for confirmation.

Observe personally (where possible) for thorough understanding.

Design Reports for Action:

1. promptness
2. content
3. method of presentation

Taking Corrective Action. Actually this step is necessary before any real "control" takes place! Brought about by some combination of these steps:

1. Adjust physical and external situations.
2. Review the direction, training and selection of subordinates.
3. Improve motivation.
4. Modify plans where necessary.

Budgetary Control. I mention this aspect of control only in that it can be one of the most effective tools of administration--when properly used, it aids in planning, coordination and control.

Primarily then, we'll consider two aspects:

1. the way budgeting assists in planning, coordinating and control
2. the conditions that are necessary to obtain these benefits

Fundamental Steps in Budgeting Control:

1. Statement of plans for a future period, expressed in specific numerical terms.

2. Consolidation of these estimates into a well-balanced program.

3. Comparison of actual results with the budget and adjustment of plans when necessary.

Benefits of Budgetary Control:

1. Improve planning--How?

   a. stimulates thinking in advance--anticipating future problems and needs, etc.

   b. leads to specificity in planning--tells how much, when, etc.

2. Aids in coordination--How?

   a. promote balanced activities--reports from each unit can be compared against the whole.

   b. encourages exchange of information--when the work of one unit is dependent on another--this can lead to exchanged ideas, etc.

   c. discloses unbalance early--coordination in the early stages necessary for final coordination.

3. Leads to Comprehensive Control--How?

   a. provides inclusive standards--normally all important accounts are included and they can become themselves standards.

   b. uses available reports on performance--as a budget actual results are tabulated and these can easily be checked against planned.

While much of the Budgetary Results are tangible (figures,

etc.) much of its benefits just mentioned are impressive, that is if realized. Now let's see what's necessary to achieve this:

1. Plans-not mere predictions. The importance of plans and planning were emphasized earlier.

2. Clear-Cut Organization. Mr. Clyce pointed out the importance of organization earlier also.

3. Active Participation by Executives in budget preparation. Unless this participation comes about, there is a great danger in arriving at "just another set of figures".

We might go further at this point--perhaps into types of budgets and the mechanics involved. However, I do not think this is our purpose. Instead, may I remind you that budgets are a means of control--they're mechanics unique to your situation(s).

Finally on the topic control, I think we should look at the TOTAL CONTROL SYSTEM. Why the total system you might ask? Because examples of specific controls that have causes more trouble than they corrected are all too frequent! Perhaps you are thinking of such examples now (examples perhaps that indicate too much attention on only one control or even the absence of some necessary controls).

What needs to be realized is that there exists a Diversity

of Controls. Every organization has numerous controls--many will be local, applying only to the activities of one or a few people, whereas others will permeate the entire enterprises. Often times they will not only be difficult to enforce but equally as hard to maintain.

The point of view though is similar to what Mr. Clyce spoke to you about when discussing organization--that of synthesis--the practical value of fitting various parts into a unified whole.

Most problems of control that demand attention--the squeaky wheel--will be fairly specific and often focused on a narrow issue. These problems should be treated promptly. But in (a) solving each such problem, its relation to the total structure should be weighed; and (b) from time to time you, the administrators, should review your overall control structure in terms of:

1. Balance
2. Possible Omissions
3. Impact
4. Costs, etc.

What are the problems or difficulties in achieving a balanced control structure? Realizing they must be many problem

areas, four seem to arise over and over again.

1. Easily measurable factors tend to get too much weight, and intangible factors too little.

2. Short-run results tend to be overemphasized compared with long-run results.

3. The relative emphasis desired in a control structure may shift over time.

4. The energy of a man who is overly concerned with controlling only one aspect of operations may upset a desirable balance.

Who does "the controlling"--dependent on the activity and the control objectives(s). May be done by almost any one.

Is there a need for speed and/or simplicity of controls? Yes--an elaborate system regardless of its "looks", if slow rarely produces satisfactory results. Good systems have numerous (short) feedback circuits.

What relationship exists between control and motivation? Much of the response to a control system depends on how the worker feels about the system itself. If he feels them to be unfair resistance can and often does result.

Controls themselves cannot expect to be popular, but there are ways to help make them more acceptable:

1. Relate control to recognizable objectives.

2. Make measurements as accurately as possible.

3. Use participation in setting standards.

4. Release control information quickly and accurately to the correct personnel.

5. Introduce flexibility into the system.

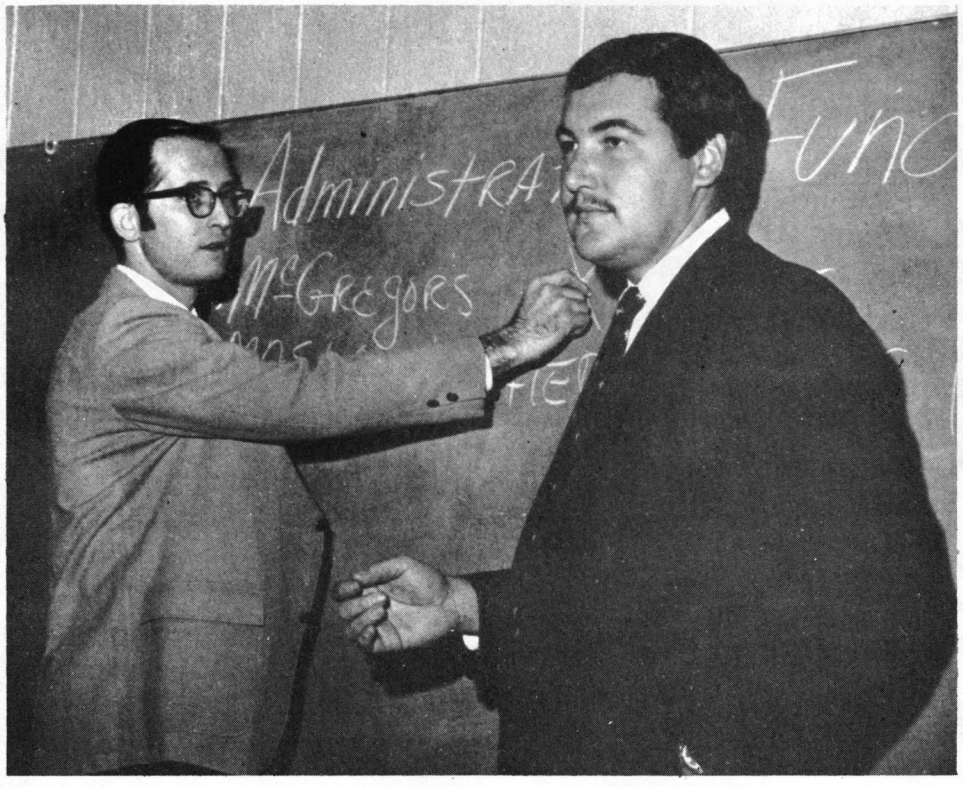
6. Seek cures not culprits.

In short, control aids planning (and the other functions) in two basic ways:

1. It draws attention to situations where new planning is needed.

2. It provides some of the data upon which plans can be based.

If "handled correctly" control and all of its ramifications is an intergral and vital aspect of all management.



Mr. David Meeks and Mr. Garland Clyce, Assistant Professors in the Business Department, Eastern Kentucky University, talks on Management Techniques to the Management Personnel of the Kentucky Department of Corrections.

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Work Effectiveness

Kentucky State Police Academy
Frankfort, Kentucky

January 1969

Instructor - Larry C. Brennan

Group - Mid-Management and Management

VITA

NAME: Larry C. Brennan

EDUCATION: Caninsus College BBA
Buffalo, New York

EXPERIENCE: 12 years with General Electric
4 years as a trainer in Business Information Systems Training.

WORK EFFECTIVENESS - BASIC SELF OR UNIT MEASURING TOOL

A. Work distribution chart.

1. Basic management tool for supervisors or managers to analyze and study personnel.

B. Flow Process Chart.

1. Allow supervisors to break down procedures into simple steps.

2. Tools to study work procedure for each person.

C. Take-off on Flow Process Chart.

D. Multi-Column Flow Process Chart.

1. Analyze paper work system.

2. Analyze flow of paper work.

E. Flow Diagram.

1. Analyze location of people in relation to work flow.

F. Record and Report Analysis.

G. Work Sampling.

1. In taking this data, you can determine the people who are working or what is being done 95% of the time.

WORK EFFECTIVENESS

Work effectiveness is the organized application of common sense to find simpler and better ways of doing work and most important utilizing to the fullest the skills of the individuals at hand.

Results come from better methods only when they are enthusiastically employed by all people concerned -- participation.

You will recognize that the concept of work effectiveness is not new. Below are listed some of the better known companies where programs of this type have been successful.

Westinghouse Electric Corporation, Pittsburgh, Pa.
E. I. DuPont Nemours & Company, Inc., Wilmington, Del.
General Electric Switchgear Division, Philadelphia, Pa.
Behr-Manning, Troy, N.Y.
Bigelow-Sanford Carpet Mills, Amsterdam, N.Y.
Aluminum Company of America, Pittsburgh, Pa.
American Can Company, New York City
Yale and Towne Manufacturing Company, Stamford, Conn.
Prudential Insurance Company, Newark, N.J.
Ward Baking, New York City
Standard Brands, New York City
Rochester Gas & Electric, Rochester, N.Y.
Carrier Corporation, Syracuse, N.Y.
RCA Corporation, Tube Department, Harrison, N.J.
T. J. Lipton, Inc., Hoboken, N.J.

Work effectiveness is not a speed-up program. It does not mean asking anyone to work harder or faster. It is an attempt to "Work Smarter--Not Harder". The stimulating thing about

this course is that it recognizes that no one knows the details of a job better than the man who is doing the job. If we can help him to maintain an open mind, to think objectively about his work and to systematically apply some of the simple tools of analysis, he will do a better job and he will be a better employee.

= Why be concerned about the administrative and clerical areas?

The increasing impact of rising clerical cost is causing management to wince. They are beginning to develop an awareness of the problems and to support a program directed toward finding the better way. Management has a right to expect the office to be an advanced in processing its paper work as the factory is in the manufacturing area. It is up to us to put an end to the admonition that "the office is 20 years behind the factory".

Glancing back to the year 1900 suggests that we look a little farther to pick up the period 1880-1910. This is generally considered the period in which scientific management was born. Frederick W. Taylor, a name that will long live in Industrial Engineering textbooks, embarked on his career of analysis of factory methods which included time and fatigue studies.

Frank B. and Lilliam M. Gilbreth followed with more refined techniques of measurement through photography in what we know as micro-motion.

The period 1910-1940 which was characterized by greater industrial development and increased capacity saw the spectacular rise of the efficiency expert who flashed his stop watch here and there and ultimately doomed himself to failure. He left a psychological scar on the labor force of America. It was apparent that people could not be pushed, predicted and calibrated by using the same approach to them as one would use on a piece of machinery.

The leaders in scientific management began to realize the importance of enthusiastic cooperation. Repeatedly they had seen better methods installed only to return shortly and find that the people on the job had reverted to the old procedures. These pioneer recognized the problem involved the most difficult and highest type of selling. The selling of an idea is intangible. People buy what they want rather than what is good for them or what they need. The first and most important problem is to get the individuals involved "into the act". By medium of the roundtable discussions we expect to obtain full participation. Participation built on under-

standing stimulates interest, initiative, imagination, and results in enthusiastic cooperation.

A. Benefit and Objectives

Improve the product or service

Reduce the cost

Improve the Supervisor's ability as a Manager

1. Improve the Product or Service

The product of an administrative and clerical group is service to the factory organization and the sales and administrative parts of the business. Paperwork is the life blood of a business organization providing communication between all of its members. Simpler and better records, up to the minute reports in concise understandable form, supply the facts management needs to operate the business efficiently. Better form design, multicopy procedures and simplified routines, will reduce fatigue and improve productivity.

2. Reduce the Cost

Office employment has increased 52% over the past 10 years.

Part of this was due to an increase in paperwork due to tax and other government reports, part due to an expansion of markets, and part due to the

"grew like Topsy-just growed". Now is the best time to review our paper work to see what can be done to reduce the costs, while maintaining or improving the services. Some idea of the possibilities may be visualized by noting that if we cut out $1 worth of printed paper forms we save $20 worth of clerical labor. (Based on a survey of a number of companies.)

3. Improve the Supervisor's Ability as a Manager

A company or organization will prosper as the supervisory organization improves its effectiveness. An alert, cost and service minded supervisor will develop teamwork between all levels of management. As he receives credit for developimg improving methods of procedures, he will render improved service.

Most supervisors are promoted from the ranks or are trained in specific accounting or technical fields. Few have had extensive training in management techniques. The roundtables will give the supervisors the necessary management "know-how" by providing them with a simplified set of management tools.

Can the supervisor improve his ability as a manager? Remember the old story about the farmer and the book salesman. The salesman tried for an hour to convince Hiram that he should buy a set of books to double his production, but no result. Then he took his coat off and delivered another super duper sales talk. Still no results. Thoroughly exhausted, the salesman asked why Hiram was not impressed. Hiram yawned, and then said, "because Son, I am not now farming half as well as I know how".

Through the roundtables we will develop an exchange of "know-how" that will increase productivity with less fatigue and better service. The methods of charting each procedure, breaking it down into small details, questioning each detail and developing an improved method will improve the supervisor's ability as a manager.

A. THE FIVE STEP PATTERN

The work that has been done thus far and the work that remains for future sessions of the round table generally follow the Five Step Pattern. This pattern is common

to almost all the projects we pursue. The pattern is as follows:

Step No. 1 - Pick the Job

Select one that is important enough to warrant study; one that is a bottle neck that holds up service to the customer or makes people work overtime; or one that seems to involve a lot of chasing around from place to place; or one that involves a lot of people and therefore a better way would benefit many people while making a saving in labor. You may select a job that might be worth improving because of the fatigue, tension to meet deadlines, etc.

Step No. 2 - Break it Down

This means charting the details or parts of the job, procedure or system, so we can examine it minutely. Often the listing of these steps by itself causes us to note things that can be improved.

Step No. 3 - Question Each Detail

We will follow a definite pattern of questions to detect opportunities for improvement.

Each detail of the job should be questioned as shown as follows with the appropriate action:

Question		Action
What?	Why?	Eliminate
Where?	Why?	Combine or Change Place
When?	Why?	Combine or Change Time
Who?	Why?	Combine or Change Sequence
How?	Why?	Simplify

Step No. 4 - Develop an Improved Method

This requires some ingenuity, consultation with everyone affected to get their suggestions, a trial run of the ideas that look best, and finally selecting the best from the viewpoint of service, cost and effectiveness.

Step No. 5 - Install the Improved Method

If you have done a good job on the first four steps, then the fifth follows naturally. But remember that unless you apply this step, nothing has been accomplished. You will note that most of the work thus far has gone into Step No. 2; the actual charting of the details of the job. We are now at the point of Steps 3 and 4. It is necessary to question each detail to see when and where and how improvements can be made. Next attempt to develop the improved method. This will involve work with the course leaders and with all persons concerned with the procedure you are studying.

In many cases development of an improved method and installation of the new method will continue after the course sessions have ended. It is important that you work on development of new methods right now so that installation can proceed as quickly as possible.

Re-read step No. 5. We want to make certain that any improvements in methods that develop during the course are actually accomplished. The project you have chosen is expected to serve a dual purpose. It is intended to train you in a tool of work effectiveness so that you will be able to work on other projects in the future and it is also hoped that it will result in an improvement to an existing system.

Requirements for the work effectiveness approach.

1. Our primary objective is a better product or service.
2. Available to accomplish that objective are supervisors, clerks, equipment, supplies and facilities.
3. Overcoming resistance to change.
   A. Explanation of the obstacles in human behavior.
      1. Complacency

         We all know this feeling. "When things seem to

be going well, why change?" Why do anything that might "upset the applecart"? Why take a chance on something new? These are the questions that have greeted almost every new invention. It's very easy to become complacent about our work. If the work is going smoothly, with no serious problems or troubles, its very easy to say "let's leave things just as they are. There's no need to look for any change or improvement".

The trouble is, that if we become too deeply attached to this attitude, we'll one day find ourselves in a very serious rut. Very little of civilization's progress has come from those who are completely satisfied with the "status quo".

2. Habits

We'll all agree that habits are very necessary to our daily way of life. So many of the things we do; brushing our teeth; walking driving our car; operating a typewriter; using a tool, etc. are done entirely or partly through use of

habit patterns. We do not have to give a lot of conscious thought to these things as we do them. So it is with our work methods. Once we have learned a certain routine, we can do a lot of it by habit. These habits are comfortable. It's uncomfortable, and requires real effort to change that routine and have to learn new habit patterns. That's why comfortable, established habits can become a mental block, causing us to look somewhat sourly on proposals for change.

3. Insecurity

In many companies, fear by employees of loss or downgrading of their jobs has completely stifled methods improvements. Fortunately, the Work Simplification way, with its guarantee that these things won't happen, will free us from this type of "paralysis".

4. Fear of Criticism

People often feel that to change a system or method is to imply criticism of the person or persons who originally set up the system.

On the other hand, people who have established a system sometimes feel resentment at any suggestion for change. This is quite natural. None of us likes to see our "brainchild" tampered with. However, we must try to overcome these feelings. Both the person suggesting a change and the person responsible for the present method should realize that only through change can we have progress.

B. Overcoming the Obstacles

You will recall the "bridge" we built across these obstacles. It was composed of:

1. The Open Mind

A willingness to listen and give a fair hearing to new ideas and suggestions will go a long way toward overcoming some of the obstacles. This does mean that we should try to see the merit in the idea as well as the flaws. And if there is real merit, we should try to work out the rough spots.

2. The Questioning Attitude

If we try to approach our work with: how can

this be done better; is this step or function truly necessary; how can I simplify this procedure; we will certainly have overcome the obstacle of complacency.

3. Reassurance

When we try to make a methods change, it's important that we reassure all persons involved that it won't have an adverse effect on their job security or stature. It's also quite necessary to make sure that the people involved fully understand the proposed change so that they will be able to adjust to it.

4. Teamwork

Perhaps the best way to overcome fear of criticisms is to have the person responsible for the present system and the person with the new suggestion working together as a team to develop and install the new method.

5. Participation

This was the keystone of our bridge. It is the major factor that distinguishes the Work Simplification way from other means of accom-

> plishing methods change. If participation is truly practiced, and the people doing the work are the ones responsible for changes, then most of the obstacles mentioned above can be overcome smoothly and successfully.

How to Deal with Resistance to Change. One of the most baffling and stubbornly rebellious problems which business executives face is employee resistance to change. Such resistance may take a number of forms - persistent reduction in output, increase in the number of "Quits" strikes, and, of course, the expression of a lot of Pseudological reasons why the change will not work. Even the more petty forms of this resistance can be troublesome. Let's face it, in order for industry to progress to a successful position in the business world, changes must continually occur. So why not deal with resistance to change:

Management does not have to force changes down the throats of resistant people.

People do not resist Technical change as such and that most of the resistance which does occur is necessary.

The key to the problem is to understand the true nature

of resistance. Actually, what employees resist is usually not technical change but social change -the change in their human relationships that generally accompanies technical change.

Resistance is usually created because of certain blind spots and attitudes which staff specialists have as a result of their preoccupation with the technical aspects of new ideas.

Management can take concrete steps to deal constructively with these staff attitudes. The steps including emphasizing new standards of performance for staff specialists and encouraging them to think in a differnet way, as well as making use of the fact that signs of resistance can serve as a practical warning signal in directing and timing technological changes.

Top executives can also make their own efforts more effective at meetings of staff and operating groups where change is being discussed. They can do this by shifting their attention from the facts of schedules, technical details, work assignments, and so forth, to what the discussion of these items indicates about developing resistances and receptiveness to change.

Record and Report Simplification

Another area to investigate when determining the effectiveness and economy of a system is the reporting function by analysis of records and reports which are generated throughout the system. Reports like Topsy have a way of growing to the point where everyone seems to make them and everyone seems to receive them. Initially, the reports may have been prepared to achieve the best type of control for the efficient operation of the system, but then the creep begins.

The increasing number of records and reports take time to prepare, review and file. C. E. Wilson, then President of General Motors Corporation, testified before a Joint Congressional Committee that no physical activity goes on in our modern age without a piece of paper going along to guide it. Records are required to provide the data which is summarized in reports.

Reports have the facility to grow in quantity as well as in distribution. Elimination, consolidation, or less frequent preparation of reports save the aforementioned time of preparation, distribution, review and filing. One of the usual complaints is that someone requested information once

because of circumstances which then prevailed and the report has been issued regularly ever since. Relatively similar information is often furnished on two or more reports. Consultation with the interested parties may make it possible to agree on common required data and consolidation of the reports is possible. Lastly, some people who thought they had to have information weekly, may find that they can operate just as well when reports are received monthly. Similarly other reports may be converted from monthly to quarterly, etc.

Benefits and Objectives

1. Better business facts to control manufacturing and business operations.
2. Better information to help management FORECAST and determine future business actions and decisions.
3. Save time of busy executives who must read reports. Present facts briefly and emphasize facts.
4. Save money by eliminating the unnecessary reports and combining others.
5. Save time in preparation. Avoid duplication and overlapping.
6. Provide for disposal of obsolete reports, reducing storage problems.

Methods of Studying Records and Reports

1. A records and reports check list is included in the notes of this Session which will be of assistance in reviewing records and reports. A continuous review of all reports, and particularly of suggested new reports, should be carried on to determine:
   (a) Whether the report is necessary.
   (b) Whether it can be consolidated with other reports.
   (c) Whether the frequency of its issuance can be reduced.
   (d) Whether it contains all the pertinent data.
   (e) Whether the design of the form and elimaination of unnecessary copies can simplify the reporting procedure.

   A good point to keep in mind on any report study is the method of "Price Tagging". This method helps management determine whether the information obtained warrants the cost. There is also the likelihood the elimination of a report may also eliminate the records from which it was compiled or at least simplify the manner in which the records can be maintained.

Forms Control

Basically, a form is a piece of paper with preprinted constant information and space provided for recording variable information. Forms are generally used to:

1. Transmit instructions authorizing action to be taken.
2. Record facts.
3. Report accumulated action.

In its simplest terms we want the form to contain the "mostest" amount of preprinted information in an arrangement which will require the "leastest" effort to fill in the variable data. The purchase of forms in economical quantities and selection of the right grade of paper are important also.

Opinions of experts vary considerably with respect to the over-all cost of processing forms in relation to the basic cost of the design, paper, and printing of the forms. The range of these estimates if from $8 to $25 for processing forms for each dollar spent on the cost of the forms. It follows that an increase in the cost of forms (use of snap-out sets, spot carbon, more pre-printing, etc.) has the potential of resulting in far greater reduction in the cost of using the forms.

The direct costs are design and cost of paper and printing. Processing costs include stocking, reading, interpreting, writing, extending, posting, handling, reference, and filing. Direct cost divided into processing cost then gives cost of processing per dollar of direct cost.

Some of the more important features of form design follow:

1. Determine for form and each line and column on proposed form or proposed revision.
2. Form names should be descriptive of function. Form numbers should be shown for reference purposes.
3. Parts should be distinguished for routing, sorting and filing assistance by use of colored inks, colored papers, corner designs, part numbers or part names.
4. Standarization of sizes and paper stocks brings economics in printing and facilities handling and filing. Forms should be made the smallest standard sizes and printed on the lowest prices standard papers consistent with their uses.
5. Recurring information should be printed, leaving only the variable items to be filled in.

6. Sequence and grouping of items determine the speed and accuracy with which forms may be completed. Placing of most important items in the most prominent places aids in use of forms.
7. Spacing should be correct for handwriting, typewriting or other machine use.
8. Typewritten forms should be designed for:
   (a) Reducing vertical spacing.
   (b) Reducing carriage returns.
   (c) Reducing horizonal spacings.
   (d) Eliminating unnecessary writing.
   (e) Rearrangements to utilize tab stops.
9. Provision should be made for only the necessary copies.
10. Arrangements should be made to use window envelopes in mailing where practicable.
11. Consideration should be given to application of combinations, snap-outs, continuous forms, duplicating machine masters, photocopy equipment masters and other reproduction methods.
12. Specifications should be complete, showing paper grade and weight, size, ink, ruling, numbering, punching, perforating, scoring, folding, padding, binding and carbon sheet requirements.

For ready reference a convenient check-off list of factors to consider when drawing up a form is included with your class notes.

In general, forms provide an orderly way of conducting business transactions. The better the design, the more time is saved preparing as well as reading. Forms design should be coordinated through a system of centralized forms control. This means routing each new design, revision and reprint through a central point where duplication in forms as well as possible combinations of forms can be noted and acted upon.

This is an excellent way to get into forms control. Too often there is the inclination to shy away from forms control when one envisions the tons of paper he has to cope with. There are also the people who have stampeded into forms control to establish controls in one fell swoop. After a while these latter folks are usually written off as being lost in action. By indoctrinating and working with the personnel in charge of the various office areas, purchasing people, reproduction supervisor and supply room supervisor one can ease his way into forms control by reviewing requests for new forms, revisions or reprints as

they occur rather than tieing up himself as well as everyone else by trying to do it all at once.

There is one general type of form, popularly referred to as "alibi paper" which should be caught and eliminated. These forms are easy to detect in forms control if the using individuals have them designed and reproduced. These forms exist so that someone can prove or disprove that "someone else did or did not do something", a device for passing the buck. If the users draw up their own forms and do not have them reproduced, the records so maintained can be uncovered only during a detailed procedures analysis or by direct action on the part of a supervisor to discontinue that type of record. One large company recently found 9% of its forms were primarily "alibi paper".

The benefit of forms design and control are:

1. Better designed forms for efficiency in use.
2. Economy in printing and stocking of forms.
3. Minimum number of different forms.
4. Procedural control over forms usage.

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Communications

Frankfort, Kentucky

May 1969

Instructor - Don Grote

Group - Management

VITA

NAME: Don Grote

EDUCATION: University of Kentucky BS Industrial Administration

EXPERIENCE: Public Relations and Manager
Labor Relations
4 years Management Trainer

COMMUNICATIONS

I. Introduction

II. Objectives

III. Effective Listening

IV. Laboratory Session

A. Discussion of Content and Process

1. Participant Observer

B. Discussion of Group Member Function

V. Group Participation

A. Card Game

1. Inference

2. Communication Problem

B. Effective Listening

C. AB - XY Trust and Confidence

D. Rectangles

1. Film: Observations of Instructor

E. Conclusion

COMMUNICATIONS

Member Roles. Today we worked primarily at locating some of the areas where we all have trouble in our communications. Tomorrow and throughout the remainder of the week we are going to be moving along through our objectives be trying to locate the causes of some of the problems and seeing what we might do about overcoming them.

The first thing we would like to offer for your examination is something we call Member Roles.

First a definition - Member Roles are the various activities of people in a group situation, categorized by the function which the activity accomplishes.

In that definition is the phrase, "people in a group situation". Throughout this week we will be talking about and using the word "group" in our discussions. When we do, we mean anything from a two-man group on up to any number of people.

Member roles are activities categorized by the function which the activity is accomplishing. These functions generally are of three orders one of which is termed Task Functions.

Task Functions are those activities which relate to the specific accomplishment of the work of the group. Whatever the work of the group - and it can be anything from winning a ball game to canning peaches, from improving production to improving our communications - whatever the task, it must be defined, ideas must be produced, ideas must be tested, decisions must be reached, and so on. Activities of this order are what we term Task Functions.

A second category of activities, and unfortunately, one which is seldom discussed or thought about, is termed Maintenance Functions or those activities which tend to build and maintain the group. To be able to work effectively at its task every group has a need to build solidarity, cohesiveness, esprit de corps, morale and so forth. Without these things a group can never communicate effectively among themselves and so will have a difficult time accomplishing their task.

Then there is a third kind of activity which takes place in groups. Since every group is comprised of individuals and these individuals have needs ranging all the way from a physical need to sit in a comfortable chair, to a psychological need to accomplish somthing we frequently see, a third kind

of activity is termed "Individual Functions". Unlike the Task Functions which contributes to accomplishing the work of the group and the Maintenance Functions which contribute to the morale and cohesiveness of the group, the Individual Functions usually contribute only to the satisfaction of a personal need rather than benefiting the group as a whole as do the first two.

Let's look now at specifically what these Member Roles are - who performs them - and when.

First of all - what are they?

Task Functions are those which contribute to the accomplishment of the group's work or those which relate to the selection, definition and solving of problems. So under Task Functions you find such things as:

Initiating - actions having the effect of getting activities started. Examples might be proposing tasks or actions - defining a group problem, suggesting a procedure advancing an idea.

Information or Opinion - offering facts; expression of feeling; giving an opinion, reporting opinions of

of others; anything which would be adding information.

Information or opinion seeking requesting facts - seeking relevant information about a group concern asking for suggestions or ideas.

Clarifying - interpreting ideas or suggestions, defining terms; clarifying issues, shedding light.

Summarizing - pulling together related ideas, restating suggestions, offering a tentative decision or conclusion for the group to consider.

Reality Testing - making a critical analysis of an idea - testing an idea against some data, trying to see whether an idea would work or checking for practicality.

There are others that could be listed here such as regulating - keeping the group on the subject - and some of these listed above are sometimes seem under different titles.

The second category mentioned were the Maintenance functions, those that have to do with maintaining the morale and emotional health of the group. Under Maintenance functions would be such things as:

Harmonizing - attempting to reconcile disagreement, getting people to explore differences, pulling together of factions - relieving tension, pouring oil on troubled waters.

Gatekeeping - helping to keep communication channels open - this does not mean a superficial, "Jack, what to you think", - it means really helping others to participate - earnestly soliciting their participation. It could be suggesting a procedure that would permit sharing remarks.

Consensus Testing - this differs from reality testing which was - check of practicality. By consensus testing is meant determining to what extend does the group agree. It means sending up a trial balloon to test a possible conclusion - a provisional try at a decision - one way this is sometimes accomplished is to take an informal vote - not to settle an issue but to see where the group stands. Consensus testing is an important function. All too frequently when we hear no verbal objection we assume we have agreement. This isn't necessarily so. How many times have you heard a remark such as, "Well everybody had a chance to talk

and you didn't say anything." Perhaps the person didn't feel he had a chance to talk. If I were to ask for comments at this point someone would say, "Yes, that's fine but we're all grown men. If a guy doesn't like what's going on, he has a responsibility to say so." This is true - but remember we are talking about the roles which are always fulfilled in those groups which are seen to be effective problem solving groups because they have effective communication.

Encouraging - in a way this is related to Gatekeeping. It means being friendly, warm and responsive to others, indicating by facial expression or some remark the acceptance of other's contributions. He praises, agrees with and accepts the contributions of others - he extends warmth and understanding.

A very important maintenance role is:

Compromising - or giving up some part of our own position for the good of the group - it means that when our own idea or status is involved in a conflict we willingly modify our position in the interest of

group cohesion. This isn't easy because usually it means yielding status.

The third major category of roles is the individual functions. Individual functions usually have a negative effect on a group's work. Examples of individual functions are:

Aggression - Not an overt act such as punching a guy in the nose but such things as deflating the status of others, expressing disapproval of the values others held, attacking the group or the problem it is working on, trying to take credit for the contributions of another - joking in a barbed or semi-concealed way.

Blocking - impeding the movement of the group for personal reasons - disagreeing unreasonably, resisting stubbornly - repeatedly bringing up subjects the group has rejected or disposed of.

Dominating - trying to assert authority or superiority in manipulating the group or certain members of the group. Controlling by means of flattery or other forms of patronizing behavior. Asserting a superior

status - interrupting the contributions of others. Hard to understand but we see it frequently in many different forms.

Out-of-Field Behavior - making a display of one's lack of involvement. You know - the "I couldn't care less" performance. From time to time we see cartoons or jokes depicting this type individual. This brand of humor (usually Out-of Field Behavior) is often inappropriate to the time or situation. You know such things as the:

Recognition seeker who calls attention to himself by boasting or reporting on personal achievements.

The self-confessor who uses the group as a captive audience to express personal non-group oriented feelings.

The help seeker who attempts to get sympathy from the group members by expressions of insecurity, personal confusion, pleading ignorance.

These are all "Out-of Field Behavior", seeking recognition in ways not relevant to the group task.

Special Interest Solicitation - suing the group

to promote extraneous interests - integration or segregation - labor or anti-labor socialized medicine, etc.

These classifications are used to assist us in thinking about the functions. They are illustrative and typical rather than exhaustive. They're not clean - there is much overlapping, for instance, initiating could be suggesting a procedure - while a maintenance role, Gatekeeping, could be suggesting a procedure that would permit sharing remarks. A single remark might serve several functions or roles.

Kinds of Member Roles. Nobody can work efficiently if he resents the task before him, is discouraged by its difficulty or is simply tired. If a person is to do his best he must be willing to undertake the job, feel that he is able to do it, and be reasonably alert. Most workers pay a good deal of attention to these attitudes as they do their own work or supervise the work of others. Besides having the knowledge, skills and equipment the job calls for, a worker must be in physical and mental condition to work well.

A group, like an individual, needs the knowledge, skills and equipment its job calls for. It needs, also, to be in good working condition - willing to work, confident and alert.

If a group is to reach and maintain high productivity, its members have to provide for two kinds of needs - what it takes to do the job and what it takes to strengthen and maintain the group.

What members must do to meet these needs may be called functional roles.

What the members do that tend to make the group inefficient or weak may be called non-functional behaviors.

Here is a glossary of some of the most essential:

Functional Roles of Group Members

Task Roles. . .
(functions required in selecting and carrying out a group task)

Initiating activity: proposing solutions; suggesting new ideas, new definitions of the problems, new attack on problem or new organization of material.

Seeking Information: asking for clarification of suggestions, requesting additional information or facts.

Seeking opinion: looking for an expression of feeling about something from the members, seeking clarification of values, of suggestions or ideas.

Giving information: offering facts or generalizations, relating one's own experience to group problem to illustrate point.

Giving opinion: stating an opinion or belief concerning a suggestion or one of several suggestions, particularly concerning its value rather than its factual basis.

Elaborating: clarifying, giving examples or developing meanings, trying to envision how a proposal might work out if adopted.

Coordinating: showing relationships among various ideas or suggestions, trying to pull ideas and suggestions together, trying to draw together activities or various subgroups or members.

Summarizing: pulling together related ideas or suggestions, restating suggestions after the group has discussed them.

Testing feasibility: making application of suggestions to real situations, examining practicality and workability of ideas, pre-evaluating decisions.

Group Building and Maintenance Roles. . .
(functions required in strengthening and maintaining group life and activities)

Encouraging: being friendly, warm, responsive to others, praising others and their ideas, agreeing with and accepting contributions of others.

Gate keeping: trying to make it possible for another member to make a contribution to the group by saying, "We haven't heard anything from Jim yet", or suggesting limited talking time for everyone so that all will have a chance to be heard.

Standard setting: expressing standards for group to use in choosing its content or procedures or in evaluating its decisions, reminding group to avoid decisions which conflict with group standards.

Following: going along with decisions of the group, somewhat passively accepting ideas of others, serving

as audience during group discussion and decision making.

Expressing group feeling: summarizing what group feeling is sensed to be, describing reactions of the group to ideas or solutions.

Both Group Task and Group Maintenance Roles

Evaluating: submitting froup decisions or accomplishments to comparison with group standards, measuring accomplishments against goals.

Diagnosing: determining sources of difficulties, appropriate steps to take next, the main blocks to progress.

Testing for consensus: tentatively asking for group opinions in order to find out if the group is nearing consensus on a decision, sending up trail balloons to test group opinions.

Mediating: harmonizing, conciliating differences in points of view, making compromise solutions.

Relieving tension: draining off negative feeling by jesting or pouring oil on troubled waters, putting a tense situation in wider context.

From time to time - more often perhaps than anyone likes to admit - people behave in non-functional ways that do not help and sometimes actually harm the group and the work it is trying to do. Some of the more common types of such non-functional behaviors are described below:

Types of Non-Functional Behavior*

Being aggressive: working for status by criticizing or blaming others, showing hostility against the group or some individual, deflating the ego or status of others.

Blocking: interfering with the progress of the group by going off on a tangent, citing personal experiences unrelated to the problem, arguing too much on a point, rejecting ideas without consideration.

Self-confessing: using the group as a sounding board, expressing personal, non-group-oriented feelings or points of view.

Competing: vying with others to produce the best idea, talk the most, play the most roles, gain favor with the leader.

Seeking sympathy: trying to induce other group members to be sympathetic to one's problems or misfortunes, deploring one's own situation or disparaging one's own ideas to gain support.

Special pleading: introducing or supporting suggestions related to one's own pet concerns or philosophies, lobbying.

Horsing around: clowning, joking, mimicking, disrupting the work of the group.

Seeking recognition: attempting to call attention to one's self by loud or excessive talking, extreme ideas, unusual behavior.

Withdrawing: acting indifferent or passive, resorting to excessive formality, daydreaming, doodling, whispering to others, wandering from the subject.

*In using a classification like the one above, people need to guard against the tendency to blame any person (whether themselves or another) who falls into "non-functional behavior". It is more useful to regard such behavior as a symptom that all is not well with the group's ability to satisfy individual needs through group-centered activity.

Further, people need to be alert to the fact that each person is likely to interpret such behaviors differently. For example, what appears as "blocking" to one person may appear to another as a needed effort to "test feasibility".

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Personnel Evaluation

Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

November 1968

Instructors - David Meeks and Garland Clyce

Group - Mid-Management

NAME: David M. Meeks

DEGREES EARNED: Lambuth College, Jackson, Tenneessee BS 1965
Major work done in areas of: Management and Economics
Minor work done in areas of: Marketing and Psychology

Memphis State University, Memphis, Tenneessee MBS 1966
Major: Management
Minor: Marketing

EXPERIENCE: Graduate Assistant - Management and Marketing Department
Memphis State University

Research Assistant - Bureau of Business and Economic Research
Memphis State University

Graduate Assistant - Bureau of Urban and Regional Development
Memphis State University

Management Consultant - Local Business Firms - Memphis

Marketing Consultant - Local Business Firms - Memphis

PUBLICATIONS: Graduate Assistant on Bureau of Business and Economic Publications. No individual publications to date.

PRESENTLY: Faculty at Eastern Kentucky University - Management and Finance.

NAME: Garland E. Clyce

DEGREES EARNED: Lambuth College, Jackson, Tenneessee BS 1966
Major work done in areas of: Management and Economics
Minor work done in areas of: Marketing and Psychology

Memphis State University, Memphis, Tenneessee MBS 1967
Major: Management
Minor: Marketing

EXPERIENCE: Graduate Assistant - Management and Marketing Department
Memphis State University

Research Assistant - Bureau of Business and Economic Research
Memphis State University

Graduate Assistant - Bureau of Urban and Regional Development
Memphis State University

Management Consultant - Local Business Firms - Memphis

Marketing Consultant - Local Business Firms - Memphis

PUBLICATIONS: Graduate Assistant on Bureau of Business and Economic Publications. No individual publications to date.

PRESENTLY: Faculty at Eastern Kentucky University - Management and Marketing.

PERSONNEL EVALUATION - UNIFORMITY IN EVALUATION
AND WRITING DISCIPLINARY ACTIONS

A. Study of several evaluation forms used by private and governmental agencies.

   1. From these forms should draw some conclusions as to what factors are important in an evaluation.

   2. Make up an outline of points to be evaluated.

B. How to <u>fairly</u> and <u>objectively</u> evaluate personnel

   1. Subjective opinions - do they count?

   2. Should personal likes and dislikes enter into the evaluation?

C. After the employee has committed an error-what then?

   1. Writing disciplinary actions.

D. Relationship of superior and subordinate.

   1. Aversive control

      a. Authoritarian leader

   2. Operant conditioning

      a. The leader as a follower type of control

      b. The follower as a leader type of control

      c. The effectiveness of praise

   3. When there is friction

      a. Is it a personal grievance or does it concern business?

      b. Separating feelings from fact

PERSONNEL EVALUATION

INTRODUCTION--Nature and Scope:

Perhaps prior to any attempt on our part to speak to you about personnel evatuation, we should look first at the field of personnel management. Let's look at the:

1. Early background of labor and labor movement. The 1 - 1 relationship, then division labor, specialization and Industrial Revolution. Now look at the distance, communication gap, etc.

2. The Worker, His Group and the Work Unit. The task of management is to make every worker in his work unit as effective as possible. How is this achieved? Perhaps it never has been fully achieved and maybe it will never be; but, this is part of the responsibility of management (and personnel management). So, some of the elements we must consider here (for balance, self realization--fulfillment of goals, etc.) would be:

   a. Capacities--referring to abilities, attainments (inherited or acquired) that a worker is capable of.

   b. Interests--not only individual desires and ambitions but also his instinctive, impulsive tendencies (that may or may not stir him to fulfillment of).

   c. Opportunities--for advancement as well as opportunity to exercise his capacities and satisfy his interests.

d. Personality--the sum total of a worker's reactions to his experiences and environment. Personality is manifest by an individual's reception by others and management's role in influencing personality is probably minor compared to the influence upon opportunities by a worker's personality. (ability to take "proper" advantage of opportunities, etc.)

Why then, you might ask, is a Personnel Department needed and in turn a "talk" on personnel evaluation? What's the purpose? What can it do for me? What can I learn? Perhaps you may learn nothing new or revolutionary; but, if you realize the importance of the personnel function, you are benefited.

I think we all would agree, regardless of the separation or detachment of any unit, division, or department, the real personnel managers of any type organization are those lesser executives who direct the efforts of employees at the point of operations. Obviously a great need exists for giving these people the right point of view toward their subordinates. If the company's policies of personnel management are to be uniformly and effectively carried out, there should be an organization within the company (a department) that is charged with this responsibility--(maintain personnel records, selection, transfer, promotions, etc. are carried out as should be).

In other words, the personnel division is responsible on

a staff basis (advisory--no direct authority) for concentrating on those aspects of operations which are primarily concerned with the relationship of management to employee, employees to employees, and the development of the individual and the group. All this sounds good (on paper) to this point perhaps. We've established a reason for concern about "personnel" and we talked about some basic consideration. But, you know as well or better than I that the real measure of any program is determined by how it works in practice.

The effectiveness of the program (or its evaluation) should not be judged on the basis of a growing and/or enthusiastic description of how it should be. Instead, the worth of the program should be judged in terms of how well it meets those criteria (to be covered later) that have proved sound in light of accumulated experience in the field.

Some important practices (we will elaborate on as we go along) then that do characterize good personnel management.

1. Adapt the Program to Meet Organizational Needs. In your case here you can well see why a personnel program selected for a large industrial concern, say GM., wouldn't work equally well for you!

2. Anticipate and Minimize Personnel Problems. The importance of proper planning cannot be over emphasized.

3. Treat employees with Fairness and Respect. Be fair and consistent. Employees want and must understand why they are treated a certain way.

4. Provide Job Satisfaction and Recognition. The "overlooked" employees and its effects.

5. Maintain Good Communications. Barriers and gateways and feedback.

6. Provide an Objective System of Remuneration. Motivation; fair and objective.

7. Build Employee Confidence and Loyalty. Respect and support as a two-way process.

We'll expand on these and others as we go along, but the point here is for management (of all levels) to fully recognize that in the area of "personnel" there is much to be done, much that can be done and that it's more than mere "human relations". Good personnel programs can help fulfill obligations to society, community (social responsibility), and employees.

Since scientific and technological processes and advancements have had an effect of increasing the number of jobs that require personnel with a greater degree of ability and education, and since there are proportionately fewer people who possess these necessary qualifications, company personnel programs MUST devote more attention not only to recruitment and selection but also to keeping these people and helping mould effective, efficient, cooperative, etc. employees.

As we will further discuss later, while at present there are vast amounts of knowledge being gathered about space technology, etc., there is not this comparable progress being made in learning more about human behavior. This in itself suggests a need for research and evaluation and continued re-evaluations.

A soundly conceived and well-administered personnel program can contribute to the efficiency, teamwork and morale of people working together. Simply put, the main purpose of such a program is to select, place, train, and motivate people to work with understanding, cooperation, trust and confidence in each other.

The principles of the square deal in daily practice for all people -on all levels- from top to bottom- plus decent, considerate, and understanding treatment, also on a daily basis and for a long pull, is the bedrock of a good people's program.

Now let us get on to personnel evaluation--the subject of our talk. We've set the stage by discussing personnel and personnel management, its origin, basis for existence, goals, etc. but what about this term "personnel evaluation" - What does it mean? In what context are we discussing it?

One meaning is--the procedure for evaluation of personnel

(pers. eval.) is called performance evaluation. This centers around such areas and terms as "performance rating", "efficiency rating" and "merit rating".

Another might center around the evaluation or assessment of the total program itself.

Another might encompass on the appraisal of one person (worker) by another (say his boss).

What do we mean here? Well, probably all three and more! To be sure we'll look at merit rating. etc. Also we'll look at the total system and the individual within the system (as an intergral part of, etc.)

Two Basic Considerations: (in evaluation-control follow up)

1. "Backward Looking"--centers around finding "scape-goats", fault-finding and passing the buck.

2. "Forward-Looking"--still has the determination of errors in mind but the purpose is not merely to assess penalties (although it may at times be necessary). The purpose is to find out what went wrong so that mistakes won't be repeated.

Personnel Evaluation then has to do with:

1. measurement of the effectiveness of personnel programs and activities

2. as a result of such measurements, determination of what should or not be done in the future.

What factors or areas of personnel then do we analyze to best fulfill all of these hoped for benefits of personnel management? To discuss this aspect of personnel, I will now turn the seminar over to my colleague.

NEWER APPROACHES TO EVALUATION:

An excellent example of evaluation is found in the Employee Relations Index (ERI) used by the General Electric Company. It is an attempt to measure the extent to which groups of employees accept and perform in accordance with the objectives and policies of the company. It is based on the following eight indicators, which were selected after detailed study of numerous aspects of employee behavior:

1. Periods of absence
2. Initial dispensary visits for occupational reasons
3. Separations from payroll
4. Grievances
5. Work stoppages
6. Number of suggestions
7. Disciplinary suspensions
8. Participation in insurance plans

The indicators are combined by means of the following multiple regression formulae to yield the ERI:

$$ERI = B_1 K_1 X_1 + B_2 K_2 X_2 + B_3 K_3 X_3 + B_4 K_4 X_4 + B_5 K_5 X_5 + B_6 K_6 X_6 + B_7 K_7 X_7 + B_8 K_8 X_8 + C$$

(Where the B's refer to the weights for each element, the K's refer to constants depending on the level of the element in the plant, the X's refer to the respect indicators, and C is an overall constant for the plant or group in question.)

Figure 30-5 shows how data are collected to computs the ERI, and Figure 30-6 shows a quantity summary form. The ERI is intended to help managers evaluate policies and practices, trace trends in employee relations, find trouble spots, perform their human relations duties more effectively, and to control personnel costs.

NATURE OF THE PERSONNEL PROGRAM:

1. Should provide for the development of a program to guide the performance of those activities or functions, that are necessary to PUT PLANS INTO ACTION.

2. A program is an overall plan. One that:

   a. establishes and defines objectives, policies and procedures

   b. coordinates programs for specific functions as each is developed.

DEVELOP PROGRAM:

The type that best fits the needs of a particular organization and the degree of attention that must be devoted to each function (or topic - as covered) is contingent on:

1. size organization

2. size personnel department

3. number and qualifications of employees

In the final analysis though the type that will be provided will be determined by the qualifications of the personnel staff, their ambition and drive, and the degree of support they receive from others in the organization.

MAINTAINING THE PROGRAM:

1. Must be dynamic---meet continually changing conditions.

2. Attention must be given the program (its not a brief campaign).

3. Periodic Review of the various functions is necessary.

You cannot be stagnant or slow moving. Just as models change when demand is greater (or stimulated), personnel programs must change when necessary.

Periodic review is necessary to make sure functions conform to established policies and procedures.

This is "Forward Looking" in that we are seeking control.

1. Set standards.

2. Compare actual vs planned.

3. Make corrections.

NOT....

.....trying to Punish per se.

To Maintain, We Should

1. Insure that changes are made not only in personnel functions but in policy and procedure if necessary.

2. Management should recognize need for balance (not overlook or neglect any aspects or give too much emphasis to any one function.

3. As mentioned, workable controls must be provided. They can:

   a. measure effectiveness

   b. indicate areas needing improvements

   c. provide valuable Feedback through such as budgetary controls, etc.

PUTTING PROGRAM INTO PRACTICE:

Now you have reasons for the program, some indicators that might suggest changes and some points to keep in mind to maintain the "system" once established. So, put your program into practice and remember:

1. Adapting program to ORGANIZATIONAL needs.

2. Anticipating problems.

3. Being fair.

4. Providing job satisfaction and recognition.

5. Good communications.

6. Building confidence and loyalty.

7. Cultivating "good relations".

ESTABLISHING AN EVALUATION PROGRAM:

1. Preliminary Planning--this is where it will either

make it or not. All levels be present (representatives of each) on planning committee.

2. Management further assures workers of their interest in it.

3. Adequate time allotted.

4. Adequate "evaluators", etc.

5. Traditional Approaches.

   a. Inter. and Intro. Industry and what about their flaws?

6. New Approaches.

   a. ERI at General Electric Company

7. Utilization of data for (improvements of course).

   a. counseling (interviews and reactions)

   b. corrective action

   c. suggestive changes

   d. "close gaps", reinforcement, compatible objectives, harmony, stability, longevity, etc.

GROWING TRENDS:

1. Improvement in employee's position (status).

2. Increasing organization complexity (automation).

3. Separation of owners and employees (social distance).

4. Expanding role of government.

5. Growing position of unions.

VALUE OF RESEARCH:

I mention this topic not because I expect or ever suspect that you will leave here today and go pour over the available data on personnel research.

I do think though that as a beginning point to better personnel relations (and all can be improved) and therefore more favorable evaluations, that you all tackle the task of searching for and analyzing ways and means of more productive, harmonious relationships. This is a duty of yours.

GROUP: Treatment Staff - Correctional Officers and Matrons

DATE: September 1968

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Brett D. Scott

TOPIC: Theory of Crime and Its Causes

VITA

NAME: Brett D. Scott

DEPARTMENT: School of Law Enforcement
Eastern Kentucky University

RANK: Assistant Professor and Director of Corrections Project

DEGREES EARNED: Pikeville College BS 1959
University of Louisville MED 1967

NUMBER OF YEARS TEACHING EXPERIENCE: 7

NUMBER OF YEARS EXPERIENCE IN CORRECTIONS: 3

RESEARCH EXPERIENCE: Demographic study of Correctional personnel in Kentucky

THEORY OF CRIME AND ITS CAUSE

A. Social - cultural theory of crime.

1. Cultural influences and their relationship to the offender.

2. Class structure (offenders most likely to come from certain social class.)

3. Minority groups and crime.

4. The Family structure and its effect on the offender.

5. The fatherless family - how this affects the child.

6. Neighborhood and community groups.

B. Physical and hereditary factors and crime.

1. Physical stature and its relationship to crime.

2. Sex crimes and physical factors.

a. Homosexuality

THEORY OF CRIME AND ITS CAUSES

Introduction. Let me say much work has gone into preparing the schedule and curriculum for your in-service training program. The Warden and the Training Officer have worked hard in preparing this program. So hard that their feelings toward the personnel at this institution has been transparent. This philosophy is consistant with that of our School of Law Enforcement, the Department of Corrections and the Office of Law Enforcement Assistance and to explain this philosophy, I would like to borrow a story of Bob Posey who is director of the School of Law Enforcement and my boss.

"It seems a top executive was approached with a question of why he was so successful in all of his endeavors. He very readily admitted that it was his personnel. He followed by saying: Take my money and I'll make more; take my land and I'll buy more; take my factories and I'll build more; but leave me my personnel, leave me my personnel."

It is evident to me that the Warden is interested in the personnel of this institution through his dedication and support of this program.

I'm well aware of the staff problem here at the institution, and the Warden assures me that everyone he can spare

is present here in this room. To me this also is evidence of his concern for you. He will take a chance on the security of this institution so that you can spend some time with us exchanging ideas in hopes you may learn something to make your job easier and more effective.

Before we get into the regular presentation, I'm reminded of a measurement of Personnel that I would like to relate to you. A good friend of mine is a retired FBI agent, and he tells me of one Agent-in-Charge who grades, measures, or evaluates his personnel or agents by the way he W-A-L-K-S.

W - worthiness
A - authority
L - loyalty
K - knowledge
S - stability

He assigns each of the areas five (5) points and instead of adding the points he multiplies them. This makes an individual eligible to receive a total of 5 x 5 x 5 x 5 x 5 = 3,125 points. But, at the same time, if a person draws "0" in either catagory, his total points is "0". In summation, it takes all components or at least a large majority of each or the total score will be down.

This is the first to twelve sessions to be conducted this coming year. We hope to run the schedule as we are running it

today. It is really remarkable that we are going to be able to reach this many of the staff members.

Our first session deals with the "Theory of Crime". This poses two questions: (1) What is a crime and (2) what is a criminal? There are many different meanings. About everyone has one and, oddly enough, no one is qualified to question him. We can be sure that two components exist - a motive plus an act.

We have a film that is about crime and criminals. This is one in a series produced by Dr. Douglas M. Kelly of the University of California.

Other major theories passed to us through time are as follows:

Phrenology: Originally known as "craniology", this is one of the oldest attempts at understanding crime and endeavors to explain criminal behaviour by relating the physical structure of the individual's skull or the "knobs" on his head to certain characterological traits or personality features. Today this theory is outmoded and of little account.

The famous Italian criminologist, Cesare Lombroso (1836-1909), tried to explain criminal activity in terms of the body

structure of the criminal. He claimed furthermore that the criminal who violated the laws of society was a throwback to an earlier form of more primitive life. This, of course, would be rather difficult to prove. Very influential, his work gave rise to the Positive School of Criminology.

Crime and Race: These theorists view certain races as being inherently predisposed to criminal behaviour. But the race theory falaciously assumes the existence of a "pure race" and altogether neglects the importance of the cultural, social, and sub-cultural factors in influencing criminal conduct.

Feeblemindedness and Crime: In short, feebleminded persons are alleged to be inherently vicious and criminal. The classic works here are: "The Jukes" by R. Dugdale and "The Kallikaks" by Henry H. Goddard. More recently, numerous attempts have been made to show a relationship between criminal behaviour and intelligence, but without success. The idea that skin color, the shape of the head, structure of the nose, intelligence, or a similar "racial" trait is a cause of difference in behaviour has been widely discredited.

Economic Theory of Crime: This theory pops up whenever a high rate of unemployment is present and was very popular

throughout the depression. Poverty per se is not a cause of crime. Rather, it is the accompanying factors; i.e., social inferiority, limited education, low occupational prestige, which probably function as a source of crime. Concomitantly, unemployment often leads to marital and personal disorganization which, in turn, contributes to parental neglect of children and similar dysfunctional processes within the home.

Psychoanalysis and Crime: Undiluted Freudian theory emphasizes the importance of instinctual "drives" within the individual. It states that each individual is endowed with a reservoir of anti-social impules (ID) and, as a result of reality contact develops controls or regulators (EGO) and (SUPEREGO) which serve to hold these impules in check. The criminal differs from the non-criminal in that his controls are faulty and fail to function effectively. The imperfect dominance of the ID is usually explained in terms of faulty early training or parental neglect.

A modified version of psychoanalytic theory defines delinquency as a symptom or method of coping with the more basic problem of adjustment. The delinquent differs from the non-delinquent in that he has insecurities, anxieties,

conflicts and frustrations, etc., which differ in kind and degree from those of the law-abiding youth.

Social Disorganization and Crime: The Social Disorganization theory states that crime and delinquency flourish in the "interstitial areas" of our major cities. These areas reflect a high degree of social and cultural heterogeneity. This results in loose, uncoordinated social organization guiding the social livingways and thoughtways within the area and provides ample opportunity for deviant exploratory behaviour.

Culture Conflict Theory: Areas of high mobility and diverse ethnic composition mirror an obvious dearth of cultural unity. Varied ethnic groups possess different social and moral codes and standards of behavior which conflict with those of the larger society and its representatives in the schools, associations, and social institutions. Hence the young become confused, bewildered, and bedevilled. They know not where to turn nor how to act. There are present no tailored-to-measure models with which to identify and respect. Partially valid, it seems however unreasonable to assume that the youth are faced with a hodge-podge of definitions; cultural heterogeneity

should not obscure the larger consensus which exists regarding the legality and illegality of social conduct.

Cultural Transmission Theory: This theory suggests that the processes involved in becoming a criminal are similar to those experienced in becoming a doctor, lawyer, engineer, or plumber. The criminal is neither physically not mentally different from the non-criminal. Geniuses and block-heads can be found in both populations. However, the cultural and sub-cultural values, attitudes, and behaviour patterns which the individual internalizes and assimilates is the principal feature of this doctrine. Although plausible, the theory fails to account for the change in criminal patterns within the society.

Differential Association Theory: Basically, this is a cultural transmission theory and was originally proposed by Edwin H. Sutherland of the University of Indiana. It is the excess of criminal over non-criminal associations which represents the differential factor and determines criminal behaviour in the career of the individual. Though more complex than here stated, the theory fails to satisfactorily tackle the problem of social learning. Surely the term "association is inadequate to explain comlicated social activity.

Differential Identification Theory: A recent modification of Sutherland's work, this theory underlines the mechanism through which interaction with "others" takes place. The term "identifications" means, "The choice of another from whose perspective we view our own behavior."

Illicit-Means Theory: When the goals of success, i.e. money, high social and occupational status, are extolled and held desirable and available to all groups in society, yet the social structure blocks off to some the means and opportunities for their legitimate attainment, those segments of society will resort to deviant, illegitimate means. It is the structural irregularity of society or differential accessibility which hinders some groups on their journey to success which produces deviant conduct, an alternative means of reaching the top. This is a highly sophisticated theory and plausible for explaining professional crime.

In closing I would like to give you some figures to help you know a little more about crime and the criminal.

1. Nine out of ten criminals are males.
2. A high majority of criminals are persons in adolescence and young adulthood - 14-25.
3. Over 65% of criminals come from the cities.
4. High percentages of known criminals come from the lower socio-economic or poor class.
5. Thirty percent of all known criminals come from racial classes making 10% of the population.

6. Crime involving some form of theft makes up 90% of all crimes reported.
7. On Chet Huntley and David Brinkley's show last night, they stated crime was on the increase 20% in the first period of this year. Robbery was crime most committed.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
SEPTEMBER 1968
BRETT D. SCOTT
"THEORIES OF CRIME AND ITS CAUSES"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Is the instructor educationally qualified to present the program?	25	5			
2. Is the instructor aware of the latest trends in the subject he is teaching?	16	14			
3. Does the instructor:					
a. Stimulate interest in the subject matter?	19	10	1		
b. Show mastery of the subject matter?	18	11	1		
c. Present material in a clear and logical manner?	26	4			
d. Welcome questions?	30				
e. Answer questions adequately?	30				
f. Teach above participant's level?	30				
g. Make the participant feel at ease?	28	2			
h. Speak clearly and distinctly?	30				
i. Attempt to cover too much material in the time availiable?	26	3	1		
4. Was the video equipment used in his presentation effective?	27	3			
5. Are the following arrangements for the course satisfactory?					
a. time of day	20	5	5		
b. day of week	22	2	6		
c. room (overnight accomodations)	15		15		
d. classrooms	21	6	3		

6. Generally, what is your evaluation of the course Instruction?

--No Comment

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are peritnent to your work?	28	2			
2. Are the topics sufficiently stimulating to inspire further research into the subject?	28	1	1		
3. In your opinion was the course content broad enough (covered enough material)?	27	3			

4. Were there any subjects not touched upon which you would like to see covered?

--No Comment

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	19	8	2	1	
b. space	19	8	2	1	

2. Do you have any suggestions in regard to facilities for future training sessions?

--No Comment

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: November 1968

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Robert N. Walker

TOPIC: Human Behavior

VITA

NAME: Robert N. Walker

Lieutenant Colonel-World War II.....5 1/2 years
worked primarily in Army Hospitals.

DEGREES EARNED: University of Virginia BS 1933
University of Virginia Ph.D. 1939
"Educational Psychology"

MEMBER OF: American Psychological Association
American Sociological Association
National Educational Association
Kentucky Education Association
Kentucky Psychological Association

CONSULTANT: Federal Bureau Investigation Academy

RESEARCH: "Role Perception of the Police Officer"

TRAINING OF CORRECTIONAL OFFICERS

Human Behavior -- Prison Personality

Dr. Robert N. Walker

A. INMATE WORLD:

1. Shift in morals which often occupies entrance to the institution.
2. Role dispossession -- curtailment of self.
3. Clean break with the past making it impossible to tell social status in outside world.
4. Loss of self-respect and self-determination by the offender.
5. Institutional "lingo".
6. Buddy formation.
7. Homosexuality in prison.

B. STAFF-INMATE RELATIONS:

1. Conflict between humane standards and institutional efficiency.
2. Insubordination of inmates.
3. Control -- strengh VS. gentleness.

HUMAN BEHAVIOR

"How aggressive or cooperative a person is, how much self-respect or self-confidence he has, how energetic and productive his work is, what he aspires to, what he believes to be true and good, whom he loves or hates, and what beliefs and prejudices he holds--all these characteristics are highly determined by the individual's group membership. In a real sense, they are properties of groups and of the relationships between people."

When this idea, or some form of it, is applied to the behavior of persons who live or work in institutions, it can be observed that many traits exhibited by individual staff members and inmates are properties of the organization, not of the person in question. From this observation, it follows logically that if the traits are to be changed the organization, not the person, must be made the object of modification. Rather than ask how or why "sadistic" men get into police departments or institutional work, for example, we should ask what organizational conditions are present in police departments and institutions to produce conduct which we define as sadistic. The essential notion, again, is that one who participates in an organization that

"owns" certain kinds of behavior will exhibit those kinds of behavior. Events occur, and they do not recur when the place is eliminated.

To use another example, it has been customary to attribute fights between inmates to personal traits such as "aggressiveness", "latent hostility", or simply "hot temper". We should also ask, "What is there about the institutional organization that produced a fight?" Once this question has been answered, we can ask, further, whether it is desirable to change them. Conceivably, organizational modification to eliminate fights or other behavior that is deplored could have as its consequence the elimination or modification of other conditions which institutional administrators or interested outsiders hold dear.

In total institutions there is a basic split between the large managed group, conveniently called inmates, and the small supervisory staff. Inmates typically live in and have restricted contact with the world outside the walls. Staff often operate on an eight-hour day and are socially integrated into the outside world. Each grouping tends to conceive of the other in terms of narrow hostile stereo-

types: staff often seeing inmates as bitter, secretive and untrustworthy, while inmates often see staff as condescending, high-handed and mean. Staff tends to feel superior and righteous; inmates tend, in some ways at least, to feel inferior, weak, blameworthy and guilty.

It is characteristic of inmates that they come to the institution with a "presenting culture" (to modify a psychiatric phrase) derived from a home world--a way of life and a round of activities taken for granted until the point of admission to the institution. (There is reason, then, to exclude orphanages and founding homes from the list of total institutions, except insofar as the orphan comes to be socialized into the outside world by some process of cultural osmosis, even while this world is being systematically denied him.) Whatever the stability of the recruit's personal organization, it was part of a wider framework lodged in his civil environment--a round of experience that confirmed a tolerable conception of self, and allowed for a set of defensive maneuvers, exercised at his own discretion, for coping with conflicts, discreditings, and failure.

The recruit, then comes into the establishment with a conception of himself made possible by certain stable social

arrangements in his home world. Upon entrance, he is immediately stripped of the support provided by these arrangements. In the accurate language of some of our oldest total institutions, he begins a series of abasements, degradations, humiliations and profanations of self. His self is systematically, if often unintentionally, mortified. He begins some radical shifts in his moral career, a career composed of the progressive changes that occur in the beliefs that he has concerning himself and significant others.

This sense of dead and heavy-hanging time probably explains the premium placed on what might be called removal activities, namely, voluntary unserious pursuits which are sufficiently engrossing and exciting to lift the participant out of himself, making him oblivious for the time to his actual situation; if the ordinary activities in total institutions can be said to torture time, these activities mercifully kill it.

Some removal activities are collective, such as field games, dances, instrument playing, choral singing, lectures, art classes or woodworking classes, and cardplaying; some are individual but rely on public materials, such as reading

and solitary TV-watching. No doubt private fantasy ought to be included, too, as Clemmer suggests in his description of the prisoner's "reverie-plus". Some of these activities may be officially sponsored by staff; some, not officially sponsored, will constitute secondary adjustments--for example, gambling, homosexuality, or "highs" and "jags" achieved with industrial alcohol, nutmeg, or ginger. Whether officially sponsored or not, whenever any of these removal activities become too engrossing or too continuous, staff is likely to object--as they often do, for example, to liquor, sex and gambling--since entity enclosed within the institution, must possess the inmate.

Although inmates do plan release-binges and may keep an hourly count of the time until their release, those about to be released very often become anxious at the thought, and, as suggested, some mess up or re-enlist to avoid the issue. The inmate's anxiety about release often seems to take the form of a question put to himself and his friends: "Can I make it on the outside?" This question brackets all of civil life as something to have conceptions and concerns about. What for outsiders is usually an unperceived ground for perceived figures, is for the inmate a figure on a larger ground. Perhaps such a perspective is demoralizing,

providing one reason why ex-inmates often think about the possibility of "going back in" and one reason why an appreciable number do return.

Except in some religious institutions, neither the stripping processes nor the reorganizing processes seem to have a lasting effect, partly because of counter-mores, and the tendency for inmates to combine all strategies and play it cool.

But what the ex-inmate does retain of his institutional experience tells us important things about total institutions. Very often, entrance will mean for the recruit that he has taken on what might be called a proactive status: not only is his relative social position within the walls radically different from what it was on the outside, but, as he comes to learn, if and when he gets out, his social position on the outside will never again be quite what it was prior to entrance. Where the proactive status is a relatively favorable one--as it is for those who graduate from officer's training schools, elite boarding schools, ranking monateries, etc.--then jubilant official reunions, announcing pride in one's "school", can be expected. When the proactive

status is unfavorable, as it is for those who graduate from prisons or mental hospitals, we can employ the term stigmatization and expect that the ex-inmate may make an effort to conceal his past and try to "pass".

The avowed goals of total institutions are not great in number; accomplishment of some economic goal; education and training; medical and psychiatric treatment; religious purification; protection of the wider community from pollution; and, as one study of prisons suggests, "incapacitation, retribution, deterrence and reformation".

The interpretative scheme of the total institution begins automatically to operate as soon as the inmate enters, staff having the notion that entrance is Prima facie evidence that one must be the kind of person the institution was set up to handle. A man in a political prison must be traitorous; a man in a prison must be a lawbreaker; a man in a mental hospital must be sick. If not traitorous, criminal, or sick, why else would he be there?

If the day ever comes when the public concience and public awareness lead to humanitarian reforms (as it has in our mental hospitals), there will no doubt be many who, like the German people of the Nazi era, will shamefully utter the

half-truth, "I didn't know what was going on." For that matter, there is hardly a person who has ever worked in a prison setting, be he physician or guard, who has not come away with the feeling that something is drastically wrong.

(This system is characterized by a)--total authority which smothers any concern for individual values. It creates a social millieu in which favorable attitudinal or behavioral change is extremely unlikely. (Prisons are)--concerned with far more than control or treatment:

1. Punishment of the offender for punishment's sake.
2. Deterring the criminal from committing any more crimes.
3. Reformation of the criminal.
    (a) An increase in internal controls with increased psychological improvement.
    (b) An increase in internal controls with regard to the offender's psychological state.
4. Protection of the public.

Most offenders do not see themselves as aggressors against society but rather as victims of society.

The great majority of offenders do, however, eventually reach the streets, and it is questionable whether imprisonment succeeds in making them less dangerous. Protection

is dependent upon the effectiveness of reformation.

It is quite likely that many offenders will come out of prison no less dangerous than they were when they went in. Others may be even more dangerous.

Obvious problem with prisons is that the four goals of punishment; deterrence, reformation and protection cannot always be pursued at the same time. Once punishment becomes arbitrary, cruel and excessive, however, reformation is no longer possible.

Absence of close interpersonal relationships: Socially acceptable sexual outlets are denied. The only outlets for sexual gratification are autoeroticism or homosexuality. Neither of these practices is likely to increase self-esteem. Homosexual involvement can lead to serious psychological disturbance.

Prisoners are more isolated and more idle.

Many prisoners are subjected to solitary confinement. This is a form of sensory deprivation. Some men seem to recover, but many are permanently scarred.

Prisoners are deprived of the opportunity of doing

socially work. Prisoners are deliberately and steadily deprived of a sense of autonomy. Repetitive attempts are made to break down the inmate's self-esteem and identity.

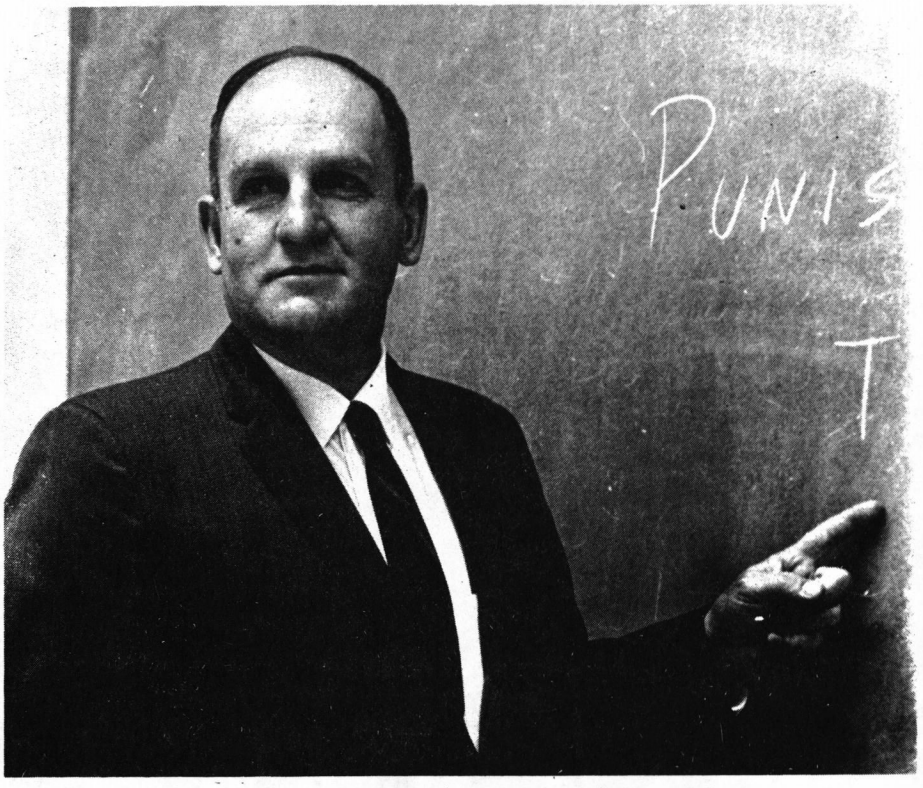
The prisoner is called by his first name (or last name without the "Mr.") The relationship of many prison workers to inmates is reminiscent of that of the bigoted white Southerner to the Negro.

The prison squashes all manifestations of useful aggression. The prisoner is subjected to an insidious series of paradoxical messages. Every message he recieves which states, "You are being treated for your own good and we are here to help you", is deceptive. One of the inescapable functions of the psychiatrist in the prison is the undoing of the bad effects of the prison itself.

Hypochondriasis is a common sympton in prison, probably more common than it is in a free environment. A high degree of illness behavior in prison should not be surprising to anyone who is aware of the oppressive nature of penal institutions. One of the more serious problems which confronts the prison psychiatrist, however, is the extend to which he should make illness available to the prisoner as an adaptation to such unusual stress.

Schizophrenic, whatever else may be involved can be defined as a gross failure to achieve and maintain ego integration. It is a failure of adaptative capacities.

Schizophrenic patients may receive a faulty and confused grounding in lingusitic meanings, or well as in other instrumental techniques, that both limit their adaptative capacities and permit them to escape from insoluble conflicts or irreconcilable contradiction by abandoning the meaning system of their culture. Investigations have now revealed that they had always been raised in seriously disturbed families which almost contained at least one unusually disturbed parent, within which the patient's personality interacted as it unfolded.



Dr. Robert N. Walker, Instructor for Correctional Probation and Parole Officers on Human Behavior.

BIBIOGRAPHY

ALLPORT, G. W.: Personality and Social Encounter. Boston, Beacon Press, 1960.

BROMBERG, WALTER, M.D.: Crime and The Mind. New York, N.Y., Macmillan Co., 1965

HALLECK, SEYMOUR L., M.D.: Psychiatry and The Dilemmas of Crime. New York, N.Y., Harper and Row, 1967.

LEAVITT, HAROLD J.: Managerial Psychology. 2nd Ed., Chicago, Ill., The University of Chicago Press, 1964.

MASSERMAN, JULES H., M.D.: Communication and Community. New York, N.Y., Grune and Strattion, 1965.

MENNINGER, KARL, M.D.: The Vital Balance. New York, N.Y., The Viking Press, 1965.

NIRENBERG, JESSE S.: Getting Through to People. Englewood Cliffs, New Jersey, Prentice Hall, 1963.

SAHAKIAN, WILLIAM S.: Psychology of Personality. Chicago, Ill., Rand McNally and Co., 1965.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
NOVEMBER 1968
ROBERT N. WALKER
"HUMAN BEHAVIOR"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Is the instructor educationally qualified to present the program?	22	8	1	2	
2. Is the instructor aware of the latest trends in the subject he is teaching?	16	14	2	1	
3. Does the instructor;					
a. Stimulate interest in the subject matter?	13	15	4	1	
b. Show mastery of the subject matter?	11	20	1	1	
c. Present material in a clear and logical manner?	14	13	5	1	
d. Welcome questions?	19	12	1	1	
e. Answer questions adequately?	18	11	2	2	
f. Teach above participant's level?	12	14	4	1	2
g. Make the participant feel at ease?	17	10	4	2	
h. Speak clearly and distinctly?	15	11	5	2	
i. Attempt to cover too much material in the time available?	11	11	6	3	2
4. Was the video equipment used in his presentation effective?	12	9	6	6	
5. Are the following arrangements for the course satisfactory?					
a. time of day	10	14	5	2	2
b. day of week	9	15	4	2	3
c. room (overnight accomodations)	9	16	4	3	1
d. classrooms	9	16	4	3	1

6. Generally, what is your evaluation of the course Instruction?

--It was felt that only the surface of the material was covered. There certainly was nothing introduced that was not already known by most of those present.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	17	11	3	1	1
2. Are topics sufficiently stimulating to inspire further research into the subject?	12	15	2	2	2
3. In your opinion was the course content broad enough (covered enough material)?	12	11	7	1	2

4. Were there any subjects not touched upon which you would like to see covered?

--Human Relations. Response of the criminal to success - reward rather than "constructive criticism" method of teaching.
--Treatment was only mentioned. Nothing specific was said as to how it could be improved; only that it needed to be improved.
--I would like to have more lectures on laws concerning correctional institutions, concerning searching buildings, road blocks, etc., and the rights of inmates confined to prisons.

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	10	11	7	4	1
b. space	10	11	6	5	1

2. Do you have nay suggestions in regard to facilities for future training sessions?

--No. 2 shop is much more satisfactory than the gymnasium. It should be better ventilated as the cigarette smoke is nauseating. Need course in psychology, counseling, character guidance and personnel relations.
--It is felt that correctional officers and other positions in the institution should meet at different times allowing the presentation of the material in a different manner to each.
--Speaker should know that people on the back row could hear.

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: December 1968

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Nicholas Peterson

TOPIC: Aggression and Violence

NAME: Nicholas P. Peterson

PERSONAL BACKGROUND: Born September 16, 1937; Arcadias Greece
Immigrated to the U.S. June 28, 1951
Naturalized December 10, 1956
Marital Status: Single

EDUCATION: B.S., Ohio State University, 1961, Psychology
M.A., Ohio State University, 1963, Major: Social Psychology
Minor: Sociology
Coursework beyond M.A.: 68 hours, most in social Psychology, Ohio State University, 1965.

AREAS OF SPECIALIZATION AND/OR INTEREST: Social Psychology: attitude change, small group processes, social perception, inter-group relations, reactions to illness. Sociology: Inter-group relations, mass communications, collective behavior, social change

TEACHING EXPERIENCE: Central State University, Dept. of Sociol. and Anthropol.; 1965 to 1967; Taught introductory sociology, courtship and marriage, social problems, collective behavior, and race and ethnic relations

University of Dayton: Dept. of Sociol. and Anthropol April-June 1967; Taught general or introductory sociology

Wilberforce University, Dept. of Sociol. and Psychol.; June-August 1967; Teaching Social psychology

Eastern Kentucky University, Dept. of Anthropol. and Sociol., 1967-1969

RESEARCH TRAINING AND EXPERIENCE: correlational and experimental studies and class related projects: Introductory Sociology, Collective Behavior, Race relations

PUBLICATIONS: Review of Milton Yinger's A Minority Group in American Society. Journal of Human Relations

RELATED EXPERIENCE: Weekly tutoring of psychiatric nursing supervisors on elementary experimental design and social measurement for 9 months

AGGRESSION AND VIOLENCE

Nicholas Peterson

I. Definition and conception of violence.

A. Legal definitions and classifications of violence.

1. Determination of intent

2. Determination of motive, presence or absence of intent.

3. Often arbitrary and pragmatic.

B. Social-psyvhological definitions and conceptions of violence and aggression.

1. Difficulty of discovering intent.

2. Difficulty of discovering motive.

3. Focus on the overt act, i.e. the partial or complete elimination of another person or group of persons that may include both aggravated assault and murder.

a. continuity among acts of aggression; the murder, the mother who excessively beats her child, the soldier who engages in extreme atrocities, the person who selects to be the executioner, the leader of an aggressive mob.

b. There are, of course, degrees of aggression and violence.

1. indicated by the number of other persons killed
2. the degree of atrocity in the acts
3. the frequency of such acts
4. the overtness of such acts; verbal aggression: swearing, defamation, sarcasm, ridicule, etc; and to injure or destroy a person; Murder and assault are overt acts against other persons.
verbal and overt aggression are not completely separate: (1) relationship, (2) causative in the situation

II. Profile of the Murderer; or The Collective Identity of the Murderer and the Assaulter; or what types of characteristics does the murderer possess and in what settings does murder and assault take place. This may help to erase some stereotypes as to who the murderers are and also provide some of the data for evaluating certain more general theories of murder. They may also help us to uncover some of the conditions that may lurk behind the murder and assaultive act.

A. Historical trends: Willful homocide has declined since the 1930's; on the other hand, aggravated assault declined during the 1940's but has increased in the 1960's. The aggravated assault in 1965 was double of what it was in the 1930's. (Since 1960, WH has not changed much. As of 1965, it stood at 5.1 per 100,000. Aggravated assault increased somewhat from 82.5 to 106.6 per 100,000. There are problems in making accurate historical comparisons and the reporting of crime; e.g. record keeping, detection and adequacy, classification changes of crime, differential report, etc. The Norc and the UCR reports show differences in the reporting of crime, especially of AA and property crimes. --Task Force Report, President's Commission, 1968.)

B. Cross-national comparisons in homocide. Data from the UN Demographic yearbook shows Columbia, Mexico, South Africa to have high rates; U. S., Japan, France, Canada, and England and Ireland to have the lowest rates. (Task Force, 1965). The rates applied to the years 1960-1962. Another study (MacDonald, 1961) comparing rates of large cities in different nations found Pretoria, South Africa (13.9), Washington, D. C. (6.1) and Sidney, Australia (3.4) to have high rates; Wellington, N. Z., Amsterdam, Holland, Vienna, Austria, and Madrid, Spain to have intermediate rates; and London (1.3), West Berlin (.4) and Oslo, Norway (.2) to have low rates as of 1959. Data on all the countries do not exist yet. Of the data available to this writer, they show that although the U. S. is not among the highest, it is somewhat near the top on homocide rates.

C. Variability within the United States in homocide and/or assault rates.

1. Religious variability: The rates per 100,000, according to religion in the U. S. are distributed as follows:

from the highest to the lowest: South Atlantic (8.4), East South Central (8.4), West South Central (7.9), Pacific (4.3), East North Central (4.0), Middle Atlantic (4.0), Mountain (3.9), West North Central (3.1), and New England (2.1). These are murder rates as of 1965. The aggravated assault rates tend to follow the same patterns. The Kentucky rate falls somewhere between 5. and 6.9; it is higher than that of Ohio and Indiana but lower than that of Tennessee. Southern states have high rates and New England states low rates. (Task Force, 1967)

2. Seasonal variability: Murder rates are generally highest in the summer, except during the month of December, which is the highest month. It is interesting to note that in December of 1963, following the assassination of President Kennedy, murders were below the yearly average by 4%, one of the few years in the history of UCR that this has happened. (Task Force, 1967. Palmer, 1960.

3. Urbanization: There tends to be a positive correlation between degree of urbanization and incidence of murder; cities or more than 1 million have more murders than those below that. However, when the 14 largest cities were compared to murder rates, there was no correlation between size of city and murder rates. (Task Force, 1967; Palmer, 1960). In some countries, however, like Britain and Sweden, there is no correlation between size of cities and the homocide rate. (Clinard and Quinney, 1967). It is also important to note, however, that within certain large cities e.g. Seattle there are certain "cultural conclaves" which are almost totally immune to homocide, i.e. have a very low homocide rate; these are a Japanese subgroup. (Task Force, 1967).

4. Occupational and educational distribution: A number of studies indicate that murderers tend to originate from lower occupational categories and educational levels (Task Force, 1967; Morris, 1965); and related to social and occupational status is, of course, the greater frequency of murder in the slum districts. (Clinard and Quinney, 1967).

5. Racial characteristics: The Negro murder rate tends to exceed the white murder rate (Wolfgang, 1966; Clinard and Quinney, 1967). However, comparing 1960 and 1965 there has been a greater increase in the White arrest rate for murder, aggravated assault and forcible rape than in the Negro arrest rate (Task Force, 1967).

6. Sex, age, marital status, mental status, body type, and criminal status of murderer or assaulter:

   a. Sex; men definitely outnumber women in murder rates (Clinard and Quinney 1967; Palmer, 1960; Morris, 1965). The degree of differential between men and women, however, depends upon many other factors such as race, region, type of murder, etc.

   b. Age; some studies show the criminal killer to be around age 35 (Morris, 1965) and others between 20 and 24 and 30-34 (Clinnard & Quinney, 1967).

   c. Marital status; murderers tend to be single (Task Force, 1967); this may, of course, overlap with their general youthfullness.

   d. Mental status; mental status can be defined in terms of intelligence and mental health. In general, the murderer is neither mentally subnormal nor psychotic (Morris, 1965).

   e. Body type; the mesomorphic or muscular type tends to predominate among the murderer population as compared to the endomorphic and the etomorphic. (Wolfgang, 1966).

   f. Criminal status; most of the murderers are first offenders, they are not inveterate criminals (Morris, 1955). In a London study it was found that 80% were first offenders (Clinnard & Quinney, 1967).

   g. Time, scene, weapon, motive and victim; murders usually take place on weekends (McDonald, 1961); they are committed mostly in the home or on the street (Task Force, 1967); the most frequent weapons are guns

and knives (Morris, 1965); Some trivial altercation (argument) or domestic quarrell are the most frequent motives (McDonald, 1961). Finally, the victim tends to be someone the murderer knows (Morris, 1955; Fask Force, 1967). There tends to be a "homogamy: between the murderer and the victim, although the homogamy may depend upon sex, e.g. men tend to kill men but women tend to kill men, etc.

PART II: THE EXPLANATION OF AGGRESSION

I. Human Biases in the explanation of Human Behaviour.

A. The individualistic bias; psychologistic and biologists.

B. The mendical bias; a bad consequence, e.g. murder must have had bad causes.

II. The constitutional approach to homocide.

A. Lombrosos theory; constellation of characteristics which were reversions to man's earlier development was the cause of his criminality (e.g. long arms, large jaws, etc.)

1. Poorly controlled study.

2. No strong correlation.

3. Theory of rejection and social evaluation (alternative).

B. Sheldons Body type theory.

1. The three body types.

2. Finding a correlation.

3. Body type not cause.

a. No correlation between body type and hostility.

b. Occupational selectivity.

c. How to explain mesomorphs who do not become murderers.

C. Physiological approach; there is a difference either hereditary or endocrine; perhaps a gene for aggression or some kind of an endocrine imbalance which makes the murderer more aggressive.

1. Difficult to discover a specific physiological component of hostility; e.g. cannot separate fear and anger physiologically.

2. Anyway, murder is selective with respect to time, person, place, etc. A non-specific physiology cannot account for a specific act.

III. The Psychoanalytic Approach to Aggression.

A. A lack of resolution of the Oedipus or Electra Complex.

B. Oedipus Complex rejected; much more sensible interpretations.

1. Incestual feelings, guilt, hostility.

2. Dependency, inferiority, guilt, hostility.

3. Authoritarianism, frustration, repression, displacement or scapegoating.

C. Some criticisms of psychoanalysis.

1. Emphasis on unconscious determinants.

2. Conflicts between instincts (culture and the id which may lead to repression and displacement); instincts are inherited.

3. Saw too much correlation between sex and aggression; aggression does not have to have any sexual sources or even any unconscious sources; it can be a matter of imitation of parents or an accepted subcultural value.

4. Gave too much emphasis to childhood, as the determinant and source of human personality; childhood is indeed important, but personality changes. The contemporary situation and role also affect the person's aggressive tendency.

IV. The Frustration-Aggression Approach to Violence and Aggression.

A. Frustration leads to aggression; original formulation.

B. New Formulation: Frustration can lead to many responses: and aggression is only one of them. It can lead to:

1. Aggression toward the source of frustration.

2. Aggression toward a secondary or substitute source; i.e. a scapegoat.

3. To retreatism.

4. To withdrawal from the field (frustrating circumstances).

5. To suicide.

6. To fantasy and daydreaming.

7. To adaptive problem solving behavior.

C. Generalization: The probability of violence and aggression increases with an increase in frustration and with the unavailability of other outlets. In a sense a murderer may be a very frustrated individual who somehow can perceive no other outlet for relieving his frustration except aggression or violence. What are some conditions which make for frustration and the selection of the aggressive response to frustration.

1. Contemporaneous problems confronting the person.

2. Type of child rearing practices; psychological vs. physical discipline; conscience development.

3. Degree of accumulated frustration in childhood.

4. Presence of a subculture of violence; value of violence, prevalence of violence; values equated to violence, e.g. violation of fidelity, virginity, integrity and masculity, etc.

5. Individual capacities: a personality variable.

   a. Frustration tolerance, reaction formation, obs. comp.

   b. Verbalization capacities.

PART III: THE CONTROL OF VIOLENCE

I. Captial Punishment:

A. Theory of Capital Punishment; punitive.

1. Punitive function for the offender; accomplishes it.

2. Deterrant function for the prospective offender; does not accomplish it.

a. Theory rests on erroneous psychological assumptions.

(1) rational calculation; very few murderers operate and plan their murders

(2) Also the masochistic element in the murderer.

3. Also the possibility of error; Palmer (1960) reports that 10% of those executed were later found to be innocent.

B. Resistance to the elimination of capital punishment.

1. Scapegoating of the criminal by society; Bronberg (1961) finds aggressive (repression) thoughts and words very common among the law abiding citizens; the criminal acts out what they repress. The death penalty is a sort of atonement and punishment resulting from self-guilt, from the point of view of the individual. This of course is an unconscious procress.

2. Contributes to social intergration; Durkheim and Coser see the criminals as a minority or an out-group; conflict with them tends to lead to a re-affirmation of own society values and helps social integration.

C. Incarceration may serve some of the same functions for the individual and society; the above comments suggest that the comment that capital punishment and incarceration protect society may be partly a rationalization. I would not, however, suggest that we eliminate abruptly both capital punishment and incarceration, especially incarceration.

II. Incarceration needs a redefinition; like incarceration toward rehabilitation.

A. Rehabilitation at the individual level; a relearning or resocialization process where the individual prisoner is taught appropriate ways of expressing his frustration.

1. New parent surrogates; not a rejective and inconsistent.

2. Individual and group psychotherapy with appropriate models; TV dramatization.

3. Also, must be taught frustration tolerance; can never eliminate frustration from life.

B. Social rehabilitation; recall the context of the subculture of violence; our society needs transformation; need to reassess our values of masculinity, ownership, etc. We need to minimize many of the supports of violence in our society, and we need to minimize many of the frustrations in our society. If we will not do that, violence will be around.

REFERENCES

Bohannan, P.: African Homocide, 1960.

MacDonald, John M.: The Murderer and His Victim, 1961.

Palmer, S. H.: A Study of Murder, 1960.

Wolfgang, M.: Patterns in Criminal Homocide, 1958.

Wertham, F.: The Show of Violence, 1949.

Bromberg, W.: The Mold of Murder, A Psychiatric Study of Homocide, 1961.

Clinard, M. B. & Quinney, R.: Criminal Behavior Systems, 1967.

Larsen, O. N. : Violence and the Mass Media, 1968.

Brophy, J.: The Meaning of Murder, 1966

Wolfgang, M. E.: The Subculture of Violence, 1966.

Morris, A.: Homocide: An Approach to the Problem of Crime, 1955.

U. S. Government Printing Office, Task Force Report, Crime and its Impact; an Assessment. The President's Commission on Law Enforcement and Administration of Justice.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
DECEMBER 1968
NICHOLAS PETERSON
"AGGRESSION AND VIOLENCE

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Is the instructor educationally qualified to present the program?	3	1	3		2
2. Is the instructor aware of the latest trends in the subject he is teaching?	4			3	2
3. Does the instructor:					
a. Stimulate interest in the subject matter?	3	2		1	3
b. Show mastery of the subject matter?	3	1	1	2	2
c. Present material in a clear and logical manner?	3	1	1	1	3
d. Welcome questions?	6	2			1
e. Answer questions adequately?	3	3		1	2
f. Teach above participant's level?	3	1	1	1	3
g. Make the participant feel at ease?	3	2	1	1	2
h. Speak clearly and distinctly?	5	1		2	1
i. Attempt to cover too much material in the time available?	3	1	2		3
4. Was the video equipment used in his presentation effective?	1	2	2		4
5. Are the following arrangements for the course satisfactory?					
a. time of day	6		3		
b. day of week	6		3		
c. room (overnight accomodations)	5		4		
d. classrooms	5		4		

6. Generally, what is your evaluation of the course Instruction?

--Excellent
--Good
--Fair college classroom lecture. In the Kentucky State Penitentiary application, there were not enough cause and effect relationships for the audience. There was an excellent one-hour lecture hidden in the three-hour discourse.

II. Curriculum

E	G	S	F	P
3	1	1	1	3
2	1	2	1	3
4	2	1		2

1. Do you feel that the subjects being taught are pertinent to your work?

2. Are the topics sufficiently stimulating to inspire further research into the subject?

3. In your opinion was the course content broad enough (covered enough material)?

4. Were there any subjects not touched upon which you would like to see covered?

--No Comment

III. Facilities

E	G	S	F	P
5	2	1	1	
5	2	1	1	

1. Were the training facilities adequate?

a. lighting

b. space

2. Do you have any suggestions in regard to facilities for future training sessions?

--Adequate

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: January 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Dr. Harry Hale

TOPIC: Prison Social Structure

VITA

NAME: Harry Hale, Jr.

DEPARTMENT: Anthropology and Sociology

RANK: Professor and Chairman

DEGREES EARNED:

Fresno Jr. College	AA	1958	General Education
Fresno State College	BA	1959	Sociology
University of Tenneessee	Ph.D.	1963	Sociology

NUMBER OF YEARS TEACHING EXPERIENCE: 7

RESEARCH EXPERIENCE: Social attitudes of active labor union members
Authoritarian Personality and Campus Activism
Evaluation research of OEO Poverty Program

OTHER QUALIFYING EXPERIENCES: Consultant to several school districts in California (Poverty programs)

PRISON SOCIAL STRUCTURE

Dr. Harry Hale, Jr.

OUTLINE

Greetings and comments about the speaker.

INTRODUCTION

Total Institutions, their characteristics and influence on inmates.

Sociological terms of analysis.

FILM--Dehumanization Practices

THE FORMAL SYSTEM

What is the formal system?

A bureaucratic organization

Rules for inmates

Historical development of prison systems

Problems in enforcing the formal rules

The failings of the power system

THE INMATE SYSTEM

Inmate code

Pressures bring about adherence to the code

Argot roles

Primary groups in prison

THE PRISON AND SOCIETY

Prisons as instruments of society.

What society expects of prisons.

Prison as a rehabilitation center.

SUMMARY, QUESTIONS, COMMENTS

PRISON SOCIAL STRUCTURE

TOTAL INSTITUTIONS:

Being a sociologist, I am already inclined toward looking to social organization as one means of understanding human behavior. Very often we sociologist study small groups of assembly line workers in factories to see how group membership influences the behavior of individuals or we study small cliques of girls or boys in high schools for the same reason. At times we study the bureaucratic structures of organizations such as labor unions, political parties, churches, local governments, school boards, womens' clubs and even fraternal organizations for the purpose of learning how such organizations affect human behavior and how the behavior of individuals affects the organizations in which they live their lives and realize their personal ambitions. In like manner, to better understand them, and their place in society, sociologists study the structures or social organizations of hositals, mental hospitals, and prisons.

The topic organizing our discussions today is Prison Social Structure. As we find in studying any social structure, it generally is much more complicated than it first appears and sociologists have attempted to cope with these subtle and often deeply entangled structures by developing concepts which

turn our attention to various organizational aspects. Our first sociological terms today are total institution, and its counterpart, what we shall call a partial institution. Partial institutions can best be illustrated by contrast with total institutions.

First, total institution: a place of residence and work where a large number of like situated individuals, cut off from the rest of society for an appreciable period of time, together lead an enclosed, formally administered round of life. Some of the best examples of total institutions are religious Monastaries and convents, mental hospitals, and prisons. We need not go into too much detail here, but merely indicate what it is we are talking about. Some social organizations are so encompassing, they swallow up and regulate the lives of their members so that they effectively cut off most interaction with the outside world. Often the physical features are such as to bring about this isolation by the use of locked doors, high walls, barbed wire, cliffs, water, guards, or complete physical removal from the rest of society. As a matter of fact, that is one of the great over-riding characteristics of most total institutions, that they separate their inmates from the rest of society. Among the reasons for the separation are the care of the inmates when they cannot care

for themselves, the protection of society from the inmates, the treatment of the inmate and the punishment of the inmate.

Compared with this it is easy to picture partial social institutions as those that do not severely regiment the lives of the members or severely limit contacts with the outside world. Above all, the partial institution provides opportunities for the expression of the self, the individuality, where total institutions attempt to regulate, regiment and to play down the self and individuality.

In the next few minutes we wish to clearly look at total institutions, and thereby, look at prisons from the vantage point of the inmates. For most of us in society, we can sleep, play and work in different places. We can sleep at home with our family, play at the bowling alley or ball game with our friends, and work at the factory, university or prison with our co-workers. Not only that, but there is no overall plan which organizes all our sleeping hours, playing hours and working hours. In short, there is a wide range of choice open to us. Shall we turn in early, or shall we stay up and watch the late show? Shall we go bowling? to the ball game? or just stay home? Shall we stay on the present job, quit and get a new one, move out of town or leave the state? These choices we take for granted, and are characteristic of partial insti-

tutions. But in total institutions, all these are performed in the same place, without choice, and according to an overall plan devised by somebody else. I'll never forget my first few days in the Navy when lights went out at a pre-arranged time and reville blew at a pre-arranged time and I had no choice but to comply.

Total institutions generally break down the barriers separating the three spheres of life, sleep, work and play, forcing the individual to perform all these in the same place, and always in the company of a lot of others, who are all treated the same, and according to an overall master plan. The clear purpose of all this uniformity is to fulfill the official aims of the institutions. Efficiency may account for some of these features for when persons are moved about in blocks they can more easily be kept under surveillance. It is then much easier to see to it that everyone does what he is supposed to do. This is especially so with large numbers of people to supervise and a small supervisory staff. Total institutions always exhibit a tremendous difference between the large group of managed people and the managers or supervisors. The managed group, inmates, live in the institution, have very limited contact with the outside world, while the staff usually operates on an eight hour day, spending the other sixteen hours integrated

in some manner with the outside world. Usually there is absolutely no possibility of a person moving from inmate to staff status so the social distance between the two is considerable. Staff members generally view the inmates as being in many respects all alike, and inmates typically consider the staff members as being all alike. In fact, social intercourse between staff and inmates is usually quite restricted with a considerable number of rules clearly delineating what can and what cannot be done. Even conversation is sometimes severely restricted. The passage of infromation is always severely limited between the two groups, even though there are always squealers or rats among the inmates, and usually some staff members pass some information to some favored inmates. Typically though, inmates don't tell the screws or hacks anything, and all official decisions of the staff are kept from the inmates. This is especially so if the information involves staff plans for inmates. Witholding such information gives staff members some advantages over inmates and helps maintain the distance between them. Now then, all this restriction on social intercourse and the witholding of information by each side from the other, helps to maintain two separate social systems in the institutions. The official one of the staff, and the unofficial one of the inmates. They tend to operate together, though somewhat independent of each other, but a

peculiar thing happens. The institutional plant and name for the hospital or prison come to stand for the world of the staff. Not only do the inmates and the staff think of the prison as belonging to the staff, but so does the general public. One of the most important results of this is that the public ignores it, and another is that the inmates feel powerless and manipulated. Whether or not this is desire, it tends to happen.

So far we have emphasized the totality of total institutions, therefore the totality of prisons and the two systems of persons who operate together with a minimum of contact between them. Another important consequence of total institutions we want to bring up here is that which surrounds the problems of inmate work. Somehow, in our society, we have a connection developed between work and reward. Even though it is not a perfect relationship, we usually expect slackers to be left behind, and for hard workers to get ahead. We expect dedication and hard work to be rewarded by pay raises and promotions. But what is the case in total institutions? The term "soldiering on the job" is not an accidental term. Something is likely to happen to one's motivation to work when he receives the same reward no matter how hard he works or how poorly he works. This is expecially so if the job is demeaning, debasing the person's feeling of dignity for himself. Doing a

job under such circumstances is simply another way of doing time and has no intrinsic worth for the worker. A person who has been oriented toward his job and his work outside the institution is likely to become severely demoralized under such work conditions, for total institutions create a system which is basically incompartible with our work-payment system in the wider society.

In actuality, total institutions, including prisons are part residential communities and part bureaucratic organizations, a sort of a cross between the two. In our society, these total institutions, these prisons, are institutions set up to try to force changes in the self of the individual. How well do they secceed? Do they bring about unanticipated changes? How successful are the treatments? My how we long to have clear answers to these questions. We, of course, do not have clear answers, but seeking for the answers have motivated many people to study them.

What happens to the inmate as he enters the new world of the total institution, the prison? We may first note that these people come with a background. A certain amount and kind of education, a family history, certain beliefs, a well developed attitude about the self, and a way of coping with the world in order to defend the self from any and all threats. Much of this is stripped away for the sake of uniformity. The full import of what this means can be gained if we note that the longer the

inmate remains institutionalized the more changes in the outside world he misses, and the less fit he is to return to the outside upon release. This untraining may be termporary, but it may be very significant in the initial adjustment of the newly released prisoner to the outside world. We might note then that the initial encounter between the inmate and the staff may well have far-reaching consequences for his future behavior.

According to one author, the new inmate is stripped of the support he normally receives from his place in society. Such support as family, friends, job or position in many friendship groups, he even loses the support of his self by the loss of his full name. He begins a series of degradations and humiliations which systematically mortify his self-integrity. This mortification of self-integrity is just as real if it is unintended as it is if it is intended. What happens is the individual is forced to change his thoughts about himself. Not only may he have to change his ideas about his personal power, but if the "official greeting" hits him right, he may come to see himself as worth little or nothing as a human being.

The first of the debasing rituals is the obvious loss of freedom punctuated by high walls, locks and armed guards. The

individual loses the power to plan his daily round of activities. In addition the greeting ritual probably includes all or most of the following: taking a life history, weighing, fingerprinting, photographing, assigning numbers, searching the person, listing personal possessions for storage, actual removal of personal possessions, undressing, showering, disinfecting, haircutting, issuing institutional uniform clothing, reading of rules and assigning to quarters. All of the foregoing is done to reduce or eradicate individuality and foster uniformity, thereby hoping to make easier the task of custody. In this way the individual is fitted into the institutional pattern, so he can be worked on through the patterns of routines. Those personal characteristics which are emphasized are those which have the least to do with his personality, fingerprints, scars, weight and height. Most of the routine procedures is based on such characteristics as these rather than on the more personal characteristics of name, family, friends and personal qualities.

The total institution deals with most of the important elements of the inmates lives on a round-the-clock-basis, and must have some cooperation from him to do the job right. Very often this need for cooperativeness is made apparent at the outset by a series of situations contrived so as to clearly

establish the superiority of staff members and the inferiority of inmates. This is partially accomplished by the routines of fingerprinting, and issuing of clothing already mentioned. However, in some cases it is necessary to provide some "obedience tests" which definitely put the inmate in his place, or failing that, break his will to resist. The inmate may thus be challenged to balk at the procedure in which he is administered the "obedience lessons" or else knuckle under without the ovedience lessons. The inmate may be required to address all staff members by honorific titles such as sir and to be referred to by only a number or maybe a last name with no personality conferring titles like Mister. If the greeting procedures are successful, the new arrival will know right away that he is ONLY an inmate and not a person whose opinions are valued and respected.

So upon entering, the new arrival is forced to leave off most of the personal features which stamped him as an individual, and to take on features which stamp him as one of the uniform inmates. The substitute possessions are clearly not his own, not the clothes, not the cell, not the eating implements, not anything. By the uniformity of clothing and hair styles the individual is even stripped of his usual appearance. He is expected to look uniform rather than individual.

The last of these losses or debasements we want to discuss is the loss of privacy. The inmate may be required to tell many personal incidents he would rather keep to himself, and if there is some form of group counselling, he may have to do so in the presence of the fellow inmates. He usually has no place to go to just be alone, and likely does not find privacy for dressing and undressing, or even for such human needs as going to the toilet. Lack of privacy seems to be a very distinguishing characteristic of total institutions, one that is remarked upon by nearly every student of them. It is of particular concern to us here for we want to refer to it again later when we talk of the two opposed emphases in prison organization, congregate or separate imprisonment.

For now we want to say that this opening discussion of some of the features of total institutions was presented because they form the background in which the social structure of the prison operates. One author Gresham Sykes, talks of the "Pains of imprisonment" as the basis for the inmate system of social interaction and the strong way in which the inmate code is upheld.

Before proceding further, I want to present several sociological terms, and to illustrate them from our discussion of total institutions; then demonstrate their use in understanding prison social structure.

Of course, we already talked about total and partial institutions. The term partial institutions was used to stand for the type of social situation found in society as large. Total institution was used to stand for those social arrangements in which large numbers of persons live their total round of daily activities within a single organizational structure. They do so in company with many others, similarly situated, and do so according to an overall plan created and executed by the supervisorial staff. Individuality is kept to a minimum, and dull uniformity is emphasized. The contrast is clear between ordinary free society and institutional society.

The next two terms we want to utilize are in-group and out-group. The most significant element of the meaning of these terms is the importance of identity. The in-group is always made up of those who consider themselves as being different from, usually better than, some other group of individuals who are termed the out-group. Almost any characteristic can be used to identify the members of an in-group to themselves. Members of a family may consider themselves an in-group as may a chique at high school, on a job, or in a church. The characteristic may be the name, social position, recognized intelligence or membership like in our athletic teams. The members of an in-group may choose to be members like a clique in a school or a church,

or they may be forced into their consciousness of kind by some outside force, like prejudice or segregated practices. Whatever the reasons for their coming together, in-group members consider themselves right, good, proper, moral and therefore, justified in whatever action they perform. And conversely, they consider all out-group members wrong, bad, improper, immoral and therefore not justified in doing anything not approved of by the in-group. In addition, the out-group, because of their natural inferiority, should accept anything the in-group feels is right and proper for them to accept. In-group members think of each other as individuals with feelings, while out-group members are simply one of them, with hardly any individual, personal feelings at all. Now the peculiar thing about this is that it is entirely possible for the out-group members to consider themselves as an in-group too. And this is just the rub of it. Often two groups are mutually opposed, each considering itself an in-group and the other an out-group. This provides some very definite factors for social organization as one might guess and as may be noted in athletic contests when we would like to see the officials favor our team a little bit. There are some very special consequences when one of the groups considering itself an in-group has an official position of power over the group it considers an out-group and that leads us to our next set of sociological terms.

Formal structure - informal structure. All enduring institutional groups in society have some type of formal structure. Prisons are no exception, having an official position in the state or federal government. There are some laws governing their establishment and operation. There are laws establishing the official authority hierarchy, and the positions of the different officials are spelled out quite clearly along with the authority patterns. However, no matter how clearly the formal structure is defined, it must be put into operation by human beings with all their feelings. In addition, the formal structure always represents an attempt to develop a social structure to meet the needs at a particular time, and the further away from that time we progress, the more out of date does that structure become. For these two major reasons, all formal structures develop informal structures, which simply are the way people meet their daily routines within the confines of the formal structure. The formal structure of the prison is official structure of the staff, with the inmates left at the extreme bottom, outside the official structure. However, in almost every prison, there are some inmates who wield more power than some staff members. Being human beings, staff members have their personal likes and dislikes, among themselves, and among the prisoners as well. Hence, the entire formal structure comes to be overlaid with an informal structure

developed and maintained by the prisoners themselves. And, in like manner, the staff members, in some informal ways, modify the formal structure among themselves, and in their dealings with inmates further modify the formal structure. At times some staff join with some of the inmates against some of the other staff members. It should be easy to see how in-group and out-group feelings can develop in a prison situation, and how they become an integral part of the total social structure.

The last two of the sociological terms I want to introduce here is first "social self", which is the functioning individual in a social world. Part of the social self is ones position in the group, be it official or unofficial. If an individual is a leader, then that fact influences the way he acts, and the way the other group members act as well. If it is an official position, it may be accompanied by certain identifying marks of rank, marked on the clothing such as a uniform or in terms of having or not having an office and desk. Being a prison official is a part of your social self that is recognized by yourself and by your co-workers, as well as by the inmates, and the persons in the surrounding community. In addition to the "Position" as a part of the social self, there is what one considers himself to be. His position may encourage him to think highly of himself, or on the other hand, to consider himself to be of little

worth. This we call self-concept. All of us have a concept of ourself, and for most of us, it is positive concept, bolstered by our positions in society and by the way people relate to us. It may be that here on the job you have a lot of reponsibility because of your position. This responsibility reflects back on yourself and helps you to think of yourself as a responsible person. You may go home in the evening and have your child run to meet you with a loving embrace, helping to confirm your conviction that you are a loveable person of great worth. All social structures influence the self concepts people form of themselves, and prisons do the same for their inmates, but not as a loveable person of great worth to others.

The formal structure of prisons are created for control and treatment, and it just may be that what the structure does to the social selves of the inmates has a profound influence on both the security of the prison and the effectiveness of its treatment program. Anyway, we will be dealing with this situation throughout the rest of our disucssion. For now, we want to review. First is the whole idea of total institution as a formal group characterized primarily by a clear demarcation between a small number of persons, "the staff", and a much larger number of persons, the inmates. Because the structure strongly encourages separation between the two, powerful tendencies for in-

group-out-group feelings to develop are always at work, leading to modifications in the formal structure by what is called the informal structure. Both the formal and the informal structures create powerful influences which affect the social selves, particularly the self-concepts of both the inmates and the staff members. This of course is a very superficial rundown of prison social structure, but it is in a sketchy outline form, the essence of the rest of my talks today. Until our next talk which will emphasize the formal structure, we will be glad to hear any questions and comments you care to make, and then we'll watch a film which depicts the debasing mechanisims mentioned earlier.

THE INMATE SYSTEM:

So far we have gone to some lengths to delineate characteristics of total institutions and to highlight the formal system of prisons and how they are implemented. The emphasis on total institutions was to emphasize the "institutional" patterns of living and to present some ideas about the problems faced by both the staff and the inmates. The emphasis on the formal structure was presented for two main reasons. First, and obviously, because it represents much of the social structure of the prison, and second, and perhaps less obvious, because it forms the counter force against which the inmate system is developed. It would be possible to describe the inmate system without a strong emphasis on the formal structure, but it would hardly be possible to understand it. I feel we should deal with this subject in an explanatory manner rather than from a descriptive perspective.

From our background material on total institutions in general and on the formal organization of prisons in particular, we can begin to develop a perspective for understanding the inmate social systems that develop and flourish in prisons. If the emphasis in current penelogy on voluntary isolation is a reality, then prison staff members recognize how potent can be the informal organizations inmates are able to create and maintain.

Virtually all relevant writers and all observers recognize the reality of sub-rosa inmate social structures and call them by such names as "inmate culture", "prisoner community" and, of course, "inmate social system". The serious writers and observers seem to report, from a vast diversity of prison population, a strikingly similar value system. This value system often is a code, known as the inmate code which serves to suggest what prisoners should do, from the standpoint of other prisoners and serves also as a justification of what prisoners do. Codes are not necessarily iron-clad rules, for people in every walk of life violate them, but codes, including the inmate code are forceful and meaningful anyway, and very seldom are taken lightly, even by those who break them.

So even though violated considerably, the inmate code is generally recognizable as falling into about five different categories of rules of behavior.

The first category involves rules which mostly boil down to: Don't interfere with the interests of other inmates. These interests usually mean serving the least possible time and enjoying the greatest possible number of privileges and pleasures while in prison. The most rigidly heldrule here relates to betrayal: Never rat on a con. That means that no grievance

against another prisoner is to be taken to the officials. Other rules in this category include: Don't be nosey, don't have a loose lip, keep off a man's back, and don't put a guy on the spot. These all may be summed up to mean in general, be loyal to your in-group, the cons. This means an attempt to put up a unified front against the officials, no matter what it costs the individual.

The second category of rules deals with arguing or quarreling with inmates. Don't lose your head, play it cool and do your own time fit in very well here. The general tendency here is to curb feuds among prisoners.

The third category asserts rules against taking advantage of fellow prisoners by force, by fraud or by trickery. Some of the rules: Don't exploit inmates, don't break your word, don't steal from the cons, don't sell favors, and don't welsh on debts clearly demonstrate this point.

Then there are rules dealing with maintaining of the self as a person. Don't weaken don't whine, don't cop out, don't suck around, or in general, be tough, be a man. These emphasize personal dignity and the ability to withstand frustrations and punishments without complaining or becoming subservient. The prisoner should be able to take it and still maintain his

dignity no matter how he is deprived.

Then there are those rules against showing prestige or respect to the officials and for the whole square world for which they stand. Don't be a sucker. Guards are hacks or screws and automatically wrong in a conflict with prisoners. More than this, prisoners should not let themselves become committed to beliefs in hard work and submission to authority. The con should Be sharp.

Certainly this code is not universally accorded the same measure of obedience by all prisoners. There are disagreements about some of the codes prescriptions, but generally, the code is almost passionately propounded, and is accepted verbally by most prisoners. Notice the emphasis on verbally. A very interesting example comes from a women's prison in California where the prisoners themselves estimated that about 90% of the inmates ratted on other prisoners. Here differentiations were made, not between those who snitched and those who didn't but in terms of the kind of snitch or stool pigeon one was. For example, a dry snitch was one who pretended to not snitch but just "happened to mention something to the staff". A cold snitch talks about one to the staff right in front of them. A plain snitch writes notes to the staff or snitches behind closed doors. One who snitched only occassionally was

said to have a jacket, while one who snitched a lot was said to have an overcoat.

So just because the tenets of the code are so widely known is no reason to believe they are universally observed. The importance of the code lies elsewhere, in what it tells us about what the prisoners are thinking and how they are acting. We can better understand the code and its place in the social structure of prisons if we can understand why it develops in the first place. From the way it is stated, it obviously serves as a mechanism of defense. But defense against what? Well for one thing, defense against the official system of the prison, but that isn't all. To understand this further we shall refer to what has come to be called the Pains of Imprisonment. Granted that most of the brutality has been removed from prison, yet prison life is not aspired to by many people, so it must be painful in some way.

We are not here arguing whether or not prison life should be painful, we are merely seeking to point out the ways in which it is painful.

The first of these pains of imprisonment is the loss of liberty. This is the most obvious of the frustrating conditions of prison life, a very restricted spatial mobility. In addition

to being restricted to the prison confines, further restrictions on movement within the prison are imposed, and enforced with passes and marching formations for movements. More than this, prisoners are cut off from family and friends, not by choice but by force. Not only is the prisoner cut off from his family, but he is cut off from society in a way which clearly symbolizes his rejection by society, a rejection which is a moral rejection of him as an individual. As has been pointed out by several students of prisons, it is the moral condemnation of the criminal that converts hurt into punishment, and it is this condemnation that faces the prisoner by his seclusion. All of the elements of prison cry out to the prisoner each day. Cry out of his rejection and loss of self as far as society is concerned. The uniform, the substitution of a number for the name, gestures of respect and subordination when talking with officials, all repeatedly impress upon prisoners the fact that they are no longer trusted members of society. Whether it is right or wrong, good or bad, proper or improper, this rejection and degradation by the free community must be warded off or rendered harmless if the prisoner is to maintain any self integrity.

Prison life has never been heralded for its plush living accommodations and no matter how we may argue it, the goods and services available to prisoners place them right at

the poverty line. Even if the standard of living accorded any given prisoner is "higher" than he could obtain on the outside, it is certainly a monotonous standard of living. Regardless of the reality of the situation most prisoners tend to believe they could have more if they were out of prison so define their present standard of living as a distinct loss. And one of the greatest pains here is that poverty in our society always reflects on the ability of the impoverished. So in addition to actual deprivation of possessions, prisoners must also consider their own inadequacies to provide for themselves and their families.

The deprivation of normal sexual relations is not argued by anybody. A recently published book on a women's prison treats the entire inmate social structure in terms of the homosexual liasons developed. In fact, a great deal of literature deals with homosexuality in prisons, and certainly it cannot be over stressed. What I want to emphasize, however, are some of the psychological frustrations brought on by this continuous single sex society. One of the first psychological problems is anxiety feelings regarding one's masculinity, especially if he has somehow engaged in a homosexual act. Even if a prisoner does not engage in homosexual acts, he may become anxiety ridden wondering if in the future he will. So

with the homosexual acts around him, and unable to prove his masculinity through normal heterosexual intercourse, the Man's self-conception, his belief in his manliness is certainly called into question, and as long as he is a prisoner he is likely to be anxious about it. If an inmate actually engages in a rare act of homosexuality because of the abnormal atmosphere in prison, the damage to his self esteem may be very great. In addition to actual deprivation of sexual activity there is one other problem with a single sex society. People tend to see meaning in their lives by the way other people respond to them. One can consider himself a good father if his children treat him with love and respect. Similarly, men can see themselves as men through the responses of women to them, not just their wives or lovers, but all women they meet. Thus, if a prisoner is to use others as a mirror in which he can see himself, he only has the male half of the mirror to look into and his feelings about himself are bound to be somewhat abnormal.

The deprivation of autonomy. From the point of view of the prisoners, too much of their lives are subject to control, and the control extends, according to them, into the most trivial situations. The inmate cannot make a move without some regulation being involved. This is a galling situation, one which most anyone would like to get out from under. For most

prisoners, the whole set of regulations is pointless. There are many exceptions to this of course, but pointless rules are always irritating, and people always seek to shake them off. Again, we want to turn to psychological consequences, for the minutiae of rules seems to be that which is accorded children, and the prisoner sees himself being treated as a child while he is an adult. The problem is actually losing one's perspective as an adult, and this must be guarded against if the individual is to maintain any self integrity.

Personal security. However we look at it, some of the most dangerous people in the world reside in prisons, and those who live with them are under constant threat of personal harm. As one prisoner stated it: "The worst thing about prison is you have to live with other prisoners." While it is true that every prisoner does not live in constant fear of being robbed or beaten, the constant companship of thieves, rapists, murderers, and aggressive homosexuals is not likely to be comforting. Perhaps the greatest problem is knowing that one will be tested, that someone sooner or later will push him to see how far they can go, and that he must be prepared to defend himself or submit. This too is an anxiety producing situation, for one can never be sure he will be equal to the challenge.

In addition to the in-group - out-group feelings, these pains go a long way toward explaining the inmate code, and the inmate social system built up around it. So prisoners live in a world which is not necessarily physically harmful but one which is nevertheless threatening and threatening in ways to which he must respond. If one's self esteem, ones self concepts, one's masculinity are constantly threatened, some defense must be raised or the integrity of the self may be lost. If prisoners are morally rejected by society, their best defense is to reject the moral code upon which society rejects them. The prison staff stands for this rejecting society and for the prisoners, this is the target they must use to protect their mental health. Mind you, I am not arguing that the pains of imprisonment, as here presented, should not be imposed, that is an entirely different question. What I am saying is that the inmate code and the inmate social structure are developed and maintained largely to cope with these pains.

For instance, the prison code can assert the rightness of the prisoners cause and the inmate structure can back this up. If prisoners see themselves deprived of goods and services, the inmate structure can provide them and the code justifies the actions. Even lack of heterosexual activity can be accommodated by the system and at least partially justified by it;

and, in living up to the code, one can assert his manliness, something he cannot do through normal male-female interaction. If the prison staff attempts to regulate his every act, the inmate system helps neutralize the control, and even overcome it in some instances.

There is one other way a prisoner can cope with these pains-escape. Physical escape is not too likely, of course, but mental escape through withdrawal is a possibility. This withdrawal or escape may be accomplished by renouncing the goals, the drives, the needs, the wants which are frustrated, the need for freedom, possessions, a norman sex life and such. Or the escape may be more profound than that. The prisoner may escape off into a fantasy land, a fantasy of life at an earlier period, or a fantasy land of life after release.

With these two kinds of psychological escape as the most likely alternatives, it is easy to see why the inmate code is so vehemently upheld and why so much verbal support is given it. In fact, if the rigors of imprisonment cannot be completely removed, they can at least be softened by the patterns of interaction and behavior established by the prisoners themselves. Hence, the inmate social structure. Now the individual inmate can bind himself to his fellow inmates in a common front against

the prison staff or he can engage in a war of all against all. In fact, most prisoners course of action is somewhere between these two extremes, but possibly closer to the collectivist side of joining with other prisoners. Because of the many individual differences in abilities, wants and desires, we find the inmate code is not obeyed completely.

Let's now turn our attention to the deviations from the inmate code. Just as we found the perfect power position of the staff is not as perfect as appears at first glance, so too, the inmate social structure is not as solid as the prisoners would have the staff believe.

We can probably best understand these deviations from the inmate code by referring to the language of the prisoners themselves, for the terms people use often reveal their thinking. Remember the various snitches in the women's prison. The language of the prisoners, often called the argot, helps to classify different kinds of behavior and thereby give them meaning in the world of the imprisoned. Let's quickly run through some of the more widely used and meaningful terms. Rat or Squealer. These terms usually refer to an individual who betrays his fellow man by communicating with a forbidden group, (the guards). In prison this term has a very deep emotional connotation, for the

has not only betrayed a single fellow prisoner, but all prisoners for he has openly shown the break in the united front called for by the inmate code. Most ratting is done for personal gain, in which case the rat must reveal his identity to the officials. If it is done to get rid of a competitor for a job or privilege it may not be necessary to reveal his identity and he will not have to fear official retaliation at a later date. The rat in either case has crossed the boundary separating inmates from staff.

Square John or Center Man is the prisoner who sides with the officials. Square John is applied because the fellow prisoners believe he shares the values of the square society and therefore the prison administration. If the rat pretends to be on the prisoners' side, the Square John makes no pretense. He is on the side of the officials and is usually despised for his slavish submission to official standards, a direct affront to the inmate code and social structure.

Gorillas. This type of prisoner violates the inmate code by taking what he wants from others by force. He preys on the weaker individuals.

Merchant or Peddler. This involves preying on fellow inmates by selling them items of necessity rather than sharing. Exchanging gifts or services tends to reinforce the solidarity

of a group, and the person who exploits others rather than reciprocates is a real threat to group integrity

The next three terms deal with homosexuality. Wolves are those who play an aggressive role in homosexual relations, those who attempt to use others for their own gratification. Whether homosexuality represents masculinity or feminity seems to be the most important consideration. The wolves then are those who play the "masculine" role in homosexual relations.

Punk. The submissive person in a homosexual relationship, but one who submits to a wolf not because he likes it but because he can get something out of it. Even though the punk does not act in a feminine manner, in the eyes of his fellow prisoners he has turned himself into a woman and, of course, masculinity is of prime importance in male prisons. The Punk may be thought of as a homosexual prostitute.

Fag. The submissive partner in a homosexual relationship who wants to take the feminine role. He fills the stereotype of the homosexual and serves somewhat as a base against which other inmates may judge their masculinity, for he takes on the mannerisms of women.

For male prisoners then, toughness and stamina enough to withstand the vigors of prison life come to be the criteria of manliness rather than normal heterosexual relationships.

Ball Buster. Those prisoners who flare into open defiance are labeled ball busters. It could be they would be regarded as heroes for standing up against the officials, but they usually are regarded as fools. In addition the ball buster may be looked on with serious concern for he may bring reprisals on all prisoners.

Real Man or Right Guy. Not a deviation from the inmate code, but in reality, the epitome of it. The man who can take it and still maintain dignity. He can command respect from his fellow prisoners and from the officials also, because of this respect of fellow prisoners. He is the man who can take it and play it cool, can accept all and still maintain the dignity of the self.

The real man or right guy gains respect because he actually regains his autonomy. The staff cannot strip him of his self-control and he serves as a vital symbol to all other prisoners. In a sense he holds his dignity by not striking back, and unwittingly aids the hand of the prison staff in maintaining the current system even though he is able to make some demands on the staff.

Toughs. The prisoner who is quick to quarrel with his fellow inmate is labeled or tough. He wants to fight out of feelings

of insults rather than because of exploiting others. He has a certain amount of respect, and many inmates fear him. His respect, even though he is a disrupter, is due largely to the toughness which fits the prison definition of masculinity. From another perspective, the tough is a real man turned sour, one who has turned from the ability to take it, to the ability to dish it out. The tough however lives a precarious life for he is frequently called on to prove his toughness.

Hipster's. Prisoners who pretend to be tougher than they are and who shoot off their mouths. Not only does the hipster try to be tougher than he is, he tries to be more of everything than he is. He is trying to belong and doesn't know how to do it, he is a very insecure individual.

Prison and Community

I am hoping we can spend most of the rest of our time in a general discussion of problems faced by prison staff members and how these problems are handled. I do not mean that I intend to tell you how you should handle problems but that you should provide the answers.

Before opening our meeting to general discussion I would like to make some comments regarding prisons as instru-

ments of society. You certainly have a stake in this, for your life is wrapped up in what American society and the people of Kentucky want you to do here. It is a very personal thing just as my job is to me. I have a stake in knowing what American society, and the people of Kentucky expect from those of us payed to be college professors. So lets look at relations between society and its prison.

Above all else, we must admit that society creates and maintains prisons as a means of dealing with those persons thought to be unfit for normal social living. That is the reason the prison wall stands for moral rejection of the prisoner. If we are to be honest with ourselves, we must admit that prison walls stand for failure. Not only the failure of certain individuals to live in society but also failure of society to get these people to live their lives in such a way as to be acceptable citizens.

Another reason why prison walls stand for moral rejection is that throughout the history of man, punishment of offenders has served the function of strengthening the beliefs in right and wrong. By punishing offenders, members of society reaffirm their beliefs and feel self justified because they themselves are not being punished for the offense. If this is so, then punishment of offenders is one of the goals society ex-

pects of those who choose to work in prisons. We have already talked of the punishing elements of prison life, and numerous studies of prison staff members indicate they generally do not make efforts to punish inmates any more than by incarceration. But in addition to removing criminals from the wider society we must recognize that society expects prison to be punishment.

Society expects the punishment of imprisonment to scare people away from criminals pursuits. It is suppose to work in two ways. First, those who have been imprisoned are expected to find it so distasteful that their actions after release will be changed so as to prevent another sentence. Now these changed actions are not expected to come out of a change of heart but out of a full realization of how punishing prison really is.

Second, those who have not taken to crime already, are supposedly scared off for fear of imprisonment. There is little doubt that convicts believe in this, for that is part of their self justification. "Everybody is a crook, but most people are too chicken hearted to actually do it." But in society at large, there is some ambivalence to this idea of punishing Peter to keep Paul honest.

There is really very little evidence to support the nation that prison scares the convicts. The recidivism rates are too high for any of us to be fooled by this. As for others, if fear of imprisonment actually keeps you and me honest, then it works but we must admit there is really no way of knowing for sure. The fact remains, many citizens and many of us expect prison experience to keep crime to a minimum.

Society not only expects prisons to keep criminals off the streets to punish them and scare them away from future crime but society also expects its prisons to reform the criminals. Actually then prisons are supposed to curb the criminals activities in two ways; first to reform them and second, failing that, to scare them.

Turning to reformation reminds me that I wanted to talk about relationships between treatment staff and guards. I am hopeful some of you will bring up some discussion along this line before we are through but for now we shall look at prison as an agent of rehabilitation. To rehabilitate, the prison experience is supposed to eradicate those causes of crime that are within the person himself and the period of confinement is supposed to hold him still long enough for the rehabilitation to take place. This is all well and good

if the prison staff is able to make enough headway against the inmate social structure and if the causes of crime are actually within the individual.

A very thoughtful writer has put his finger directly on one of the most serious problems faced by a society that uses prison as a vehicle to reform criminals. The real dilemma is that the same society which expects you to reform the criminals really doesn't believe you will be able to do it. Therefore, once a person is put in prison he is no longer trusted and since we no longer trust him we treat him as an outcast and do not provide him with legitimate ways to earn a living. There is then no alternative but to return to crime. The real problem is faced by the rehabilitation staff. No matter what they tell the prisoners about reforming and working for a living, the stark reality, known by both the reformer and the convict is simply that the chances of him getting a good position upon release is very slight. The odds are against the prisoner and he knows it, so why go through the pretense of reform.

Briefly now, before turning to your comments and questions I want to suggest two other relationships between prison and society, both related to reformation of criminals.

One writer says the failure of prisons to reform is largely due to the impersonalness of the system. For example,

Jones robs Smith. But instead of having to pay back to Smith, an impersonal legal system sentences Jones to punishment which is performed by disinterested professional prison authorities and has little if any connection to his robbing Smith. If you see any meaning in this I would like to hear your comments.

And last, some people have suggested rewarding people for not commiting crimes rather than punishing them for committing them. I would be very interested in your reaction to this suggestion.

Now if you will, say anything or ask anything you want.

Dr. Harry Hale, Sociology Department, Eastern Kentucky University, Teaches Correction Officers and Treatment Staff about Social Structure in the Prison.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
JANUARY 1969
HARRY HALE
"PRISON SOCIAL STRUCTURE"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Is the instructor educationally qualified to present the program?	17	9	1	1	
2. Is the instructor aware of the latest trends in the subject he is teaching?	14	11	3		
3. Does the instructor:					
a. Stimulate interest in the subject matter?	9	12	5	1	1
b. Show mastery of the subject matter?	10	13	3	1	1
c. Present material in a clear and logical manner?	13	11	3	1	
d. Welcome questions?	12	10	3	2	1
e. Answer questions adequately?	12	10	4	1	1
f. Teach above participant's level?	9	14	3	2	
g. Make the participant feel at ease?	12	12	4		
h. Speak clearly and distinctly?	13	10	5		
i. Attempt to cover too much material in the time available?	6	8	8	5	1
4. Was the video equipment used in his presentation effective?	13	6	6	2	1
5. Are the following arrangements for the course satisfactory?					
a. time of day	13	11	3	1	
b. day of week	13	10	3		2
c. room (overnight accomodations)	6	12	8	2	
d. classrooms	6	7	4	3	8

Comments:

Comments:

--Loud speaker system could be better. 1:00 P.M. would be better for me at second session.
--I fell more movies would reach the majority of the groups.
--Gym is poor facility.
--Real prison happening facts. Literature on various prison subjects.

6. Generally, what is your evaluation of the course Instruction?

--Will be valuable to officers if they have facilities to carry them out and will.
--Fair overall. Today's was good.
--Too specialized and not at a level easily understood by most of class.
--Superior, competent and highly relevant.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	13	8	4	1	2
2. Are the topics sufficiently stimulating to inspire further research into the subject?	9	9	7	2	1
3. In your opinion was the course content broad enough (covered enough material)?	10	7	9	1	1

4. Were there any subjects not touched upon which you would like to see covered?

--I think we should know more about the Police Departments, the Courts and their goals and future plans as to law enforcement.
--Criminal Typology - Treatment based on specific.
--What causes a person to do crime?
--Subjects dealing with technique (methodology).
--Indepth discussion on all topics in smaller groups of individuals.

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	6	12	5	1	4
b. space	5	12	4		7

2. Do you have any suggestions in regard to facilities for future training sessions?

--A better mike.

--Smaller space.
--Better heating in room.

IV. Your constructive criticism is appreciated.

--Don't see how the subject could be worth much to custodial officers. Lecturer was hampered by lack of practical experience in a penal institution which he was man enough to admit.
--Write few pages in questions to answer true and false.
--This is by far the best speaker and presentation that we have had. The terms used were thoroughly explained and used in a manner which was useful to all in attendance.
--I feel that the instructors, in some instances, go above the understanding of the average correctional officer of this institution and in some cases should elaborate and go into more detail. Again, I don't feel that one day a month is not enough time. I myself am deeply interested and all I can get out of these classes. Thank you very much.
--Treatment Staff personnel need more depth work in small group setting which includes considerable amount of group feedback rather than straight dialogue.
--This was the best meeting. Same instructor should come back and continue today's topics.
--Stimulate more discussion.
--The need for psychology at the Reformatory is limited to the Classification Board and the Deputy Warden in charge of Cusody. Use of it by a guard in charge of a detail could sometimes be helpful. Trying to make psychologists of guards is like trying to make silk purses from sows ears.
--Dr. Hale was not able to complete his talk on "Prison Social Structure". I feel this part of the discussion would have been the most informative and would like either a copy of his talk or a visit to our institution to discuss this part.
--Have a warm meeting place and smaller than the gym. Use loud speaker if meeting is in big space. Allow time for questions and/or comments. Cover less material but more thoroughly. Have next meeting at KCIW. NOTE: It is recognized that it is impossible to present a training session to any group, part of whom have 8 years of "schooling" while part may have as much as 18 years of "schooling", and make it interesting to everyone!

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: February 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Dr. Douglas Hindman

TOPIC: Behavior Modifications

VITA

C. Douglas Hindman, Ph.D
Department of Psychology
Eastern Kentucky University
Richmond, Kentucky 40475

Born: May 16, 1941

Married: August 16, 1964 to Nancy Stewart, Springfield, Illinois
No Children

Education: Public schools in Penna., Ohio, and Illinois

MacMurray College Jacksonville, Ill.	1959-1963	(B.A. 1963)
Florida State Univ.	1964-1966	(M.S. 1967)
Florida State Univ.	1966-1968	(Ph.D. 1968)

Experience:

Asst. Professor, Eastern Kentucky Univ., 1968-
USPHS Predoctoral fellow, Univ. of Florida, 1967-68
(APA approved intership)
Social worker: Lincoln State School and Colony (for retarded)
Lincoln, Illinois 1963-64

Professional Affiliations:

American Psychological Associations
Kentucky Psychological Associations
Psi Chi

Publications and Presentations:

Hindman, C.D. Retention of behavior established without errors. Unpublished dissertation, Flordia State Univ., 1968

Hindman, C.D. Discrimination of cues for partially delayed reinforcement in children. Unpublished masters thesis, Flordia State Univ., 1967

with May, J.G. et.al, Control of tantrum behavior in a retarded child. Paper presented at Flordia Psychological Association, Fort Lauderdale, May 1967

BEHAVIOR MODIFICATIONS

I. Behavior Modifications - a psychologist's interest.

A. Behavior, deviant or normal is mostly learned.

B. Life, a process of behavior modification.

C. Psychologists, study things that cause behaviors to change, normal or deviant.

1. Animals and man, appears similar.

II. Basic Types of Learned Behavior.

A. Respondent.

1. Things we do because of what just happened.

2. Are learned by repeated exposure.

3. "Emotional"

B. Instrumental.

1. Things we do because they have an effect.

2. Effects.

a. "natural"-food water

b. other-attention, affection.

3. Learned effects.

a. things we come to value like money, work.

4. Psychopath -has not learned to value some effects like working, etc.

a. can be confused, ex. man cusses you because mad or look big.

III. Producing Behavior.

A. People often learn via instructions but more complex tasks must be "shaped".

1. Ex: job skills, learning to drive.

B. Shaping.

1. Animals too.

MOVIE #1

C. Things to notice.

1. Behavior must occur first.

a. ex: can't reward prisoner for day's work until learns to show up.

2. Whatever precedes is rewarded.

a. ex: call a man in and punish. He won't want to come in.

3. Reward every time.

a. keep message consistent.

D. Once person is doing something:

1. Ease off -you do this normally.

2. Schedules.

a. rewards at intervals produce low rates
(1) ex: pay checks

b. rewards on ratios produce higher rates
(2) ex: piecework

c. irregular rewards produce behavior at stable rates which person will do for long time

MOVIE #2

V. Summary.

A. People do things for effect often.

1. If prisoner doing something there must be a reason.

B. Common rewards.

1. Attention of a group.

2. Appreciation.

3. Guards as reinforcers.

C. Changing behavior of prisoners.

1. Shape up gradually.

2. Be sure you can deliver.

D. Punishment.

1. Works only if alternate behavior possible.

2. Often it isn't punishment to prisoner.

a. ex: going to hold makes him a big man

b. try something else or you're giving him what he wants

BEHAVIOR MODIFICATIONS

Psychologists see two types of learned behavior. I am going to show you, later, some examples of one of these types of behavior as we see it operating animals. For right now while I am talking about these two types, I would like you to be thinking of ways in which we see them operating in other people around you. Remember though, that these are just basic types or models of behavior. In a sense, then, you probably will not think of too many examples that are purely one type or the other. Still, I hope that as I am explaining them, you will see that they can be basic catagories that will enable you to understand a little better what the prisoners are doing, and, for that matter, what other people around you are doing in general.

The first type of behavior which I will talk about is called "respondent" behavior. Respondent behaviors are things that we do because of what just happened. That is, for example, if, as you are driving home tonight, you come up to an intersection and a car drives out in front of you, what happens? What happens, of course, is that you "get scared". Your stomach gets tight, you begin to sweat, you get "butterflies". Something happens and you respond. That's a respondent

behavior. It's something you do because of something that just happened to you. I am sure that you can think of other examples. Generally, respondent behaviors involve things that we would be willing to call "emotional".

If you will think a moment, you'll realize that we can also learn respondent behaviors. Let me use an example again of the man who drives out in front of you at the intersection. What happens if you come to the same intersection tomorrow and another man drives out in front of you, and then after that a third man? What happens, of course, is that pretty soon every time you come to the intersection you begin to feel afraid: to get those "butterflies" in your stomach. You have learned this, you can drive by that intersection. Once you have learned this, you can drive by that intersection for many nights and still get the "butterflies" even though nobody drives out in front of you again.

The second type of behaviors that I'm going to talk about are instrumental behavior. These are things that we do because they have an effect. That is, they do something. We might say that they are rewarded for, to use a technical term, they are "reienforced". In few minutes, I'm going to show you a movie in which you will see a rat also working for

food. More commonly we do things to get effects like attention or affection. Part of the reason that you probably come to work this morning was because of the attention you get from your fellow employees and the good things that your neighbors say about you because you are a good hard working member of the community. Your children do things because it makes them a "big man" among their friends.

Often the things that we work for don't have any value in themselves but we have learned to value them. For example, you work to earn money. Money isn't good in itself but enables you to get other things that you do want. We have learned, as we grew up, that things like attention and the appreciation of our fellow men lead to good things of various kinds. You probably came to work this morning as much to get these kinds of things as you did because of the money that you get working here. If you were just working for money, you could probably make more money by robbing a bank -- but you couldn't get the other things that you work for by robbing a bank. Perhaps this is part of the reason people become criminals. They have never learned that it can be good to be appreciated by those around you.

So, we have two basic types of models of behavior.

Respondent behaviors means that people, and animals for that matter, do because something just happened. These behaviors are usually emotional types of behaviors. The other type of cause they have an effect, they are rewarding or reinforced. They are reinforced either by things like food, water, or more commonly, they are rewarded with things that we have learned to value like money, attention, appreciation, praise, etc. Of course, I am sure you realize that things aren't all this simple. Often times it is not real easy to figure out which of these models is more important in trying to understand why a prisoner, or somebody else, is doing something. For example, suppose you are walking across a yard and a prisoner comes up and cusses you out. Why? He might be cussing you out because something just happened and he is mad, or he might be cussing you out because a group of his friends are watching and he wants to show them how "tough" he is. Why is this distinction important? Because, depending on why he is cussing you out, you need to do two very different things to get him to stop. If he is really mad, he needs a chance to "cool off". On the other hand, if he is trying to look tough, you don't want to let him "get away with it".

CORRECTIONAL OFFICERS AND TREATMENT STAFF
FEBRUARY 1969
DR. DOUGLAS HINDMAN
"BEHAVIOR MODIFICATIONS"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

I. Instruction

	E	G	S	F	P
1. Do you feel the instructor was qualified to present the program?	9	3	2		1
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	8	4	2	1	
3. Did the instructor:					
a. Stimulate interest in the subject matter?	7	4	2	2	
b. Show mastery of the subject matter?	6	5	1	2	1
c. Present material in a clear and logical manner?	6	8			1
d. Welcome questions?	14	1			
e. Answer questions adequately?	5	6	3		1
f. Teach above participant's level?	8	5	2		
g. Make the participant feel at ease?	9	2	3	1	
h. Speak clearly and distinctly?	9	2	3		
i. Attempt to cover too much material in the time available?	7	6	2		
4. Was the video equipment used in his presentation effective?	8	2	4	1	
5. Are the following arrangements for the course satisfactory?					
a. time of day	11	3	1		
b. day of week	10	3	1		1
c. room (overnight accomodations)	4	7	1	3	
d. classrooms	6	5	4		

Comments:

--Should alternate days for having program where it won't come on same officers' days off every time.

6. Generally, what is your evaluation of the course Instruction?

--This program is about the type of program needed, finally.
--I think it is beneficial.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	6	3	4		2
2. Are the topics sufficiently stimulating to inspire further research into the subject?	7	4	1	1	2
3. In your opinion was the course content broad enough (covered enough material)?	7	2	2	3	1

4. Are there any subjects you wish to recommend for future curriculum building?

--I would like to hear the subject discussed on why inmate doesn't trust in anyone.
--Whether or not the "hole" is necessary in a prison.

5. Are there any specific instructors you wish to recommend for future consideration?

--Dr. Hindman was the best we have had.

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	8	3	4		
b. space	7	3	3	2	

2. Do you have any suggestions in regard to facilities for future training sessions?

--That those attending should not talk aloud when the instructor is talking.

IV. Your constructive criticism is appreciated.

--He is honest in the opinion he has; but, having no experience (practical), I consider it time wasted. He'd change his mind with six months experience.
--You have finally had a program like we need.
--I think individuals who want to ask questions should think over the importance of the questions before asking and one person should not dominate the program with his questions and discussion. I also think individuals should refrain from making critical remarks toward departments within the prison.
--It is my opinion that this type training is of little or no value to the correctional officer. I believe the officials at Eddyville Penitentiary could devise a training program which would be far more valuable than the training sessions we have had the past few months. I would suggest the instructors be associate wardens, captains and yard captains as these officials have had long experience with prison work.

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: March 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Dr. Robert Walker

TOPIC: The Prison Personality

VITA

NAME: Robert N. Walker

Lieutenant Colonel-World War II.....5 1/2 years
worked primarily in Army Hospitals.

DEGREES EARNED: University of Virginia BS 1933
University of Virginia Ph.D. 1939
"Educational Psychology"

MEMBER OF: American Psychological Association
American Sociological Association
National Educational Association
Kentucky Education Association
Kentucky Psychological Association

CONSULTANT: Federal Bureau Investigation Academy

RESEARCH: "Role Perception of the Police Officer"

THE PRISON PERSONALITY

A. The inmate world.

1. The shift in morals which often accompanies entrance into the institution.

2. Role dispossession or the curtailment of self.

3. The clean break with the past making it impossible to tell social status in the outside world.

4. Loss of self-respect and self-determination by the offender.

5. Institutional lingo.

6. "Buddy formation".

7. Homosexuality in prison.

B. Staff - Inmate Relations.

1. The conflict between humane standards and institutional efficiency.

2. Insubordination of inmates.

3. Control - strength and gentleness.

TOPICS:

The movement of the correctional field from its isolating institution-based system of custodial confinement and toward a goal of re-integrating the offender into the fabric of community life, and the concept of administrators as key agents of change.

On any given day correction is responsible for 1.3 million offenders. In the course of a year it handles 2.5 million admissions and spends over a billion dollars.

NEEDED: A strong, diversified, and well-coordinated network of service capable of reintegrating the offender into the legitimate life of the community.

ERVING GOFFMAN: The prison as a "total institution"

Two kinds of executives: resigned conservation
dissatisfied innovation

Tendencies toward routinization, deficit of information on organizational processes and outcomes, and inability to integrate the staff.

Stages in handling offenders: revenge
restraint
reformation --
re-integrating the offender

Treatment rather than imprisonment

Re-education rather than custodial restraint

Triad of poverty, depravity, and crime

Psychodynamic Theory -- compulsive theft

bed-wetting

auto accidents

Mental hygiene and mechanisms of adjustment

Juvenile delinquency

"Southern sheriff" idea

Occupational hazards of being a custodial officer:

Defensive behavior

Aggression

Frustration

High level of chronic anxiety

Definition of psychology

Police and Corrections need for psychology -- FBI figures

Psyche

Soma

Heredity, environment and social conditioning

Mental illness Organic Functional

Unconscious motivations (Frued)

--life and death instincts

--thwarting

--frustration

--aggression

Heredity - Environment

Intelligence (I.Q.) and learning

Conditioning

Emotions

Personality - Security - 3 L's

Adjustment mechanisms

--sublimation

--repression

--regression

--identification

--projection

--fantasy

--illness

Homeostasis

Psychopathic behavior

--battered child

--compulsive stealing

--enuresis

Punishment

--counterproductive

--reprobative

--rehabilitative

--deterrent

--retributive

--therapy - "R.S.V.P."

Triad of poverty, depravity and crime

Malingering -- nestling patient

Juvenile delinquency

--ghetto

--sheriff's office

--prediction indices

Inner city, deprived and segregated

Adolescent behavior

--other privileged

--over-protected

--insecurity

--Sturm and Drang

--acting-out

--reality testing

Lee Oswald case

Police Officer as a person and his occupational hazards:

--defensive behavior

--aggression

--frustration

--high levels of chronic anxiety

Alcoholism and drugs (hallucinogenic)

Home environment -- "Model" -- self-concept

Education: traditional -- modern

Crowd and mob psychology

Prejudices and police behavior

Psychology of rumor

Police-community relations program ("long, hot summer")

Role Theory

Punishment orientation VS. Treatment orientation

The solution: Education and social enlightenment

BIBLIOGRAPHY

ALLPORT, G.W.: Personality and Social Encounter. Boston, Beacon Press, 1960.

BROMBERG, WALTER, M.D.: Crime and The Mind. New York, N.Y., Macmillan Co., 1965.

HALLECK, SEYMOUR L., M.D.: Psychiatry and The Dilemmas of Crime. New York, N.Y., Harper and Row, 1967.

LEAVITT, HAROLD J.: Managerial Psychology, 2nd Ed., Chicago, Ill., The University of Chicago Press, 1964.

MASSERMAN, JULES H., M.D.: Communication and Community. New York, N.Y., Grune and Stratton, 1965.

MENNINGER, KARL, M.D.: The Vital Balance. New York, N.Y., The Viking Press, 1965.

NIRENBERG, JESSE S.: Getting Through to People. Englewood Cliffs, New Jersey, Prentice Hall, 1963.

SAHAKIAN, WILLIAM S.: Psychology of Personality. Chicago, Ill., Rand McNally and Co., 1965.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
MARCH 1969
DR. ROBERT WALKER

Legend: E - excellent G - good S - satisfactory F - fair P - poor

I. Instruction

	E	G	S	F	P
1. Do you feel the instructor was qualified to present the program?	15	4	2		
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	16	2	2	1	
3. Did the instructor:					
a. Stimulate interest in the subject matter?	11	7	2		1
b. Show mastery of the subject matter?	13	2	4	2	
c. Present material in a clear and logical manner?	17	2	2		
d. Welcome questions?	14	4	3		
e. Answer questions adequately?	14	5	2		
f. Teach above participant's level?	9	7	3	2	
g. Make the participant feel at ease?	12	8	1		
h. Speak clearly and distinctly?	17	3	1		
i. Attempt to cover too much material in the time available?	15	1	4	1	
4. Was the video equipment used in his presentation effective?	13	6	2		
5. Are the following arrangements for the course satisfactory?					
a. time of day	12	7	1		1
b. day of week	11	7	1	1	1
c. room (overnight accomodations	7	3	11		
d. classrooms	9	6	4		2

Comments:

--60% of the evening and night shift were unaware of what was being said because they are not closely assosicated with the inmates as the day shift is.

6. Generally, what is your evaluation of the course Instruction?

--It is educational to the employees.
--Rather effective, however, I was not able to concentrate on the lecture as much as sometimes.
--This was the best course of study we have had in my opinion, especially for me since I have worked with the younger inmates in the school for the past 5 years.
--We have to hear so much that's no profit before we hear anything of value. A lecture without practical experience looks rediculous. I'd like a real training program. A man has never been around those people does not know enough about it. He cannot imagine people like them.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	11	5	1	3	1
2. Are the topics sufficiently stimulating to inspire further research into the subject?	13	4	2	1	1
3. In your opinion was the course content broad enough (covered enough material)?	11	5	5		

4. Are there any subjects you wish to recommend for future curriculum building?

--How to deal with the homosexual problem in prison life.
--There should be more courses with stress on educational systems in the Department of Corrections.
--More on handling inmates socially.
--Anything relating to our work. This one was a waste of time.
--What for officers to do.

5. Are there any specific instructors you wish to recommend for future consideration?

--I do not know any professors educated in criminal law locally.
--The man we had today was the best we have had.
--We need something more practical like the one next week by Mr. Burns.
--Dr. Robert N. Walker

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	12	6	1	1	1
b. space	10	7	2	1	1

2. Do you have any suggestions to regard to facilities for future training sessions?

--Smaller room.
--Films on teenage crime do not interest me. I see often on TV.
--The session was the most satisfactory.

IV. Your constructive criticism in appreciated.

--I think it would be wise to discuss our everyday problems every once in a while and how the employees at the prison can cope with them.
--The Guard Force or somebody seemed to have the run-offs of some kind today. I have not witnessed as much worthless running in and out in the sessions as this morning.
--All sessions have been helpful.
--Could be improved by small group discussions following presentation.
--Have questions in middle of program rather than at end.
--I would like to have outlines of Dr. Walker's discussion dated 3/17/69.
--What do you people think of the 4 and 5 times that are here that have the attitude "It's easier to take what they want than to work for it." If they get caught it's okay. They know the treatment is very good. Food is good. Very little work. No responsibility as they know their families will go on welfare and be taken care of at taxpayers expense.
--Only program during training that was worthwhile and interesting.

GROUP: Treatment Staff and Correctional Officers and Matrons

DATE: April 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Charles Robert Burns

TOPIC: Disturbances in Prison

VITA

NAME: C. R. (Bob) Burns

BORN: Liberal, Missouri

EDUCATION: Pittsburg, Kansas

EXPERIENCE: Operation of Dry Cleaning Plant
Federal Bureau of Prisons
- Junior Custodial Officer
- Senior Custodial Officer
- Lieutenant
- Captain
- Jail Administrator

PRESENT POSITION: Jail Inspector and Community Representative
Federal Bureau of Prisons
Springfield, Missouri

Violent and destructive behavior by groups of prisoners is not new in our business. In one prison, a riot is of concern for all in other prisons. Failure to prevent or to control with efficiency, firmness and quickness when they do develop is a reflection on all of us in the business.

Emotional tensions are always present. They are monotony, boredome, injustice, frustration, hopelessness, sexual anxiety and rebellion against unacceptable conditions.

Leaders are mostly abnormal and are usually categorized as psychopathic personalities.

Some believe social influences are caused entirely by mass rebellion against authority. This has not been proved or disproved.

PART 1: BASIC CAUSES

Discussion must begin with basic causes:

(1) Inadequate Financial Support:

(a) Spending for prisons is politically unpopular.
(b) Comprehension
(c) Easily set standards - food, clothing, medical attention, education, supervision, classification and housing

The price of good prisons will be paid by the taxpayer, even though not existent.

(2) Substandard Personnel:

(a) Quality of operations depends directly upon the training, experience, standards and morale of the staff.
(b) Salary scales and tenure - merit system, promotion, retirement for Director, Warden, Professionals.
(c) Members usually cut when work week is cut. Lack of sufficient members is the rule rather than the exception.
(d) Pre-employment training is a rarity - training almost mandatory.
(e) Fair and well executed discipline.

(3) Enforced Idleness:

(a) Results in physical, mental and moral deterioration.
(b) Productive labor - Prison industry.
(c) Maintenance work - Proper labor management in the past in at least one institution has created a tax-free prison operation -- products to tax supported institution.

(d) The "dry rot" situation of the 1950's has disappeared for the most part. Large, unwieldy institutions still have this problem-not enough jobs.

(4) Lack of Professional Leadership and Programs:

(a) Leadership training:

(1) Director of Commissioner must have good executives and subordinates.
(2) Education V.T.
(3) Solid chain of command.
(4) Communication classification, segregation for better control and treatment.

(b) Programs must provide purposeful activity.

(5) Excessive Size and Overcrowding:

(a) Too much togetherness:

(1) 10 to 200% more than designed for everything is overcrowded: quarters, dining, recreation, program areas, etc.

(b) Overworked personnel:

(1) Can you imagine a detail officer with more than 100 prisoners or a caseworker with 300 to 500 cases?

(c) Privacy - moral behavior:

(1) Demands in other areas preclude expenditures in prison construction: irritation, frustration.

(6) Political Domination and Motivation of Management:

(a) Patronage in the past has, for the most part, resulted in complete turnovers, pressure for special inmate favors, early release, assignments, misuse of joint property, etc. History indicates that prisoners have been used to serve private individuals for profit. Serious consideration requires organization as free as possible from political influence.

(7) Sentencing Practices:

(a) Exhorbitant - minimal.

(1) inequity - injustice

(b) Sentencing institutes - same pledges.

(1) inconsistant

(c) Indeterminate sentences and Central Board have the least difficulty.

(d) Legislative attempts to limit court jurisdiction.

(8) Parole Boards:

(a) Influenced by publicity, inmate reaction and personal prejudice. Philosophically and practically, sound procedures still conflict with deep-seated, erroneous inmate ideas.

(b) Wise, experienced parole board cannot ignore public or prisoner attitudes but must not abandon or modify basic, sound policies and procedures.

(c) Interpretation and education of public, prisoners, courts and staff cannot be deferred until pre-planning period.

(1) I thought, I understand, I believe, etc.

PART II: MEASURES OF PREVENTION

Basic faults of a particular time are sometimes beyond the control of management. Executive officer must appraise his own situation.

(1) General Level of Morale:

- (a) Prisoner morale - objectives to create a feeling of consideration for basic physical needs.
- (b) Must be able to maintain certain amount of human dignity - fair and just treatment. "Bread and Circuses" are not enough.

(2) Communication:

- (a) Official source information - planning which affects inmate welfare.
- (b) Radio or general assembly - invite newspaper.
- (c) Two-way by teachers, doctors, chaplains, detail supervisors-all of which must be basically well informed.
- (d) Institutional circulation by all - How difficult is it to "give or get" information?
- (e) Numerous casual contacts - "Deck Bound" executive personnel.
- (f) Use of informers - Confidential source must be protected.
- (g) Reaction to recreation - one good barometer.
- (h) Inmates councils - limited use - restricted to general welfare.

(3) Positive Program of Disciplinary Control:

- (a) Discipline is conformance to constituted authority.
- (b) Cannot be "wishy-washy" or uncertain. Neither "do it or else". Rewards and incentives as well as punishment.
- (c) Objectives- to teach self-control.
- (d) Non-conformers - agitators, strongarm, sexual aggressors, escapes risks, etc.

(e) Smart efficient discipline for employees and prisoners.

(4) Employee Morale and Judgement:

(a) This could be the "match".
(b) In-service training should include consideration of critical areas and situations - "best possible way of handling".
(c) Employee Morale is Contagious.....proud, loyal, confident.

(5) Alertness to Real Grievances:

(a) "Real Grievances" - possibility of presentation.
(b) Food - privileges (mail, writing) discredited disciplinary measures.
(c) If management has no control over the situation-discuss and deal with openly.
(d) Real grievances, if possible, must be corrected.
(e) CAUTION - Acceded to additional privileges? Position on privileges must be sound and consistent and followed. Sudden changes must be carefully handled.

PART III: CONTROL, MEASURES FOR CONTROL, ADVANCE PLANNING

(1) General Preparedness:

(a) Control of tools, weapons, food, power supply, etc. is essential to security.
(b) Known troublmakers and aggressive psychopath-segreated and guarded - usually cruel group.
(c) Alert, ready, trained employees (all).
(d) Initial attack probably at weakest point (doctor, chaplain, teacher, etc.)

(2) Policies of Command:

(a) Risk priorities - List on board and ask for priorities.

(1) Public safety.
(2) Safety and welfare of hostage.
(3) Prevention of loss of life or injury to all.
(4) Inmate welfare.
(5) Protection of property.

(b) Except for "Public Safety" list could be re-arranged but not much.

(c) Hostages - much difference of opinion.

(1) Reckless disregard cannot be tolerated.
(2) Employment indicates some risk acceptance.
(3) Reckless use of clubs, gas & gunfire.
(4) Sound judgement and moral courage.

(d) Negotiations with ringleaders:

(1) Theory say No!
(2) Necessary discussion - Yes!
(3) Indiscreet promises cannot always be fulfilled - superiors, prosecutors, etc.
(4) Most requests for governors, newspaper reporters, etc. tend to inflate ego and lend encouragement.
(5) Some up-to-date revised thinking evidently.

(6) If valid, agreement to correct grievances is objectionable even though the method is normally a must to be attained before this action is possible.

(e) Public Relations:

(1) Rioters usually seek embarrassing publicity.
(2) Keep the press informed - press obligated not to handicap.
(3) Keep public away! Protection.
(4) Mutual considerate understanding with the press.

(f) Criminal prosecution:

(1) Statute violation - assault, property destruction, etc. - facts, reporting.

(g) The Riot Plan:

(1) Up-to-date, carefully developed to meet any eventuality.
(2) Objective - bring all resources to bear quickly and efficiently.
(3) Emergency personnel:

(a) mobilization-institutional, police, sheriff and State.

(4) Riot squad.
(5) Institutional experience where assistance from another institution was dispatched.
(6) Emergency equipment.
(7) Instruction of employees.
(8) Do's and don'ts for all employees.
(9) Standing orders.
(10) Analysis of physical plant - use plan for example.
(11) Keeping the Plan in Working Order:

(a) frequent inspection of equipment and procedures:
1. firearms and ammunition
2. fas supply and equipment
3. emergency lighting equipment
4. utility service controls

5. emergency entrance
6. general alarm system
7. emergency keys
8. garden supplies and tool control
9. amplifiers and P.A. system

(12) The Plan in Action:

(a) The alarm:
1. immediate notification of responsible officer - who?
2. subsenquent staff notification
3. mobilization of resources
4. restrict disturbances area - clear non-participants

(b) Establishing control - from a few hours to several days.

(c) Returning to normal.
1. identify ringleaders

(3) Conclusions:

CORRECTIONAL OFFICERS AND TREATMENT STAFF
APRIL 1969
CHARLES R. BURNS
"DISTURBANCES IN PRISON"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Do you feel the instructor was qualified to present the program?	21	6	1		
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	22	4	2		
3. Did the instructor:					
a. Stimulate interest in the subject matter?	16	10	2		
b. Show mastery of the subject matter?	12	14	1	1	
c. Present material in a clear and logical manner?	14	13	2		
d. Welcome questions?	16	11	1		
e. Answer questions adequately?	13	10	5		
f. Teach above participant's level?	14	10	4		1
g. Make the participant feel at ease?	17	9	1	1	
h. Speak clearly and distinctly?	13	7	7		1
i. Attempt to cover too much material in the time available?	9	8	7	4	
4. Was the video equipment used in his presentation effective?	7	13	5		3
5. Are the following arrangements for the course satisfactory?					
a. time of day	9	11	4	3	1
b. day of week	9	10	6	2	1
c. room (overnight accomodations)	8	5	15		
d. classrooms	7	6	6	6	3

Comments:

--Too hot.

6. Generally, what is your evaluation of the course Instruction?

--Presentation was good. Too much material covered in time allotted. Could use class participation to illustrate hard to understand instruction.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	17	8	3		
2. Are the topics sufficiently stimulating to inspire further research into the subject?	15	10	3		
3. In your opinion was the course content broad enough (covered enough material)?	13	8	5	1	1

4. Are there any subjects you wish to recommend for future curriculum building?

--More of today's session.
--Cooler
--Same as today
--Self-defense, in case of a riot how to break it up, also how to use tear gas.
--More on State prisons.
--Would think personnel would rather see how inmates accomplish and contraband along with examples of what contraband they receive.

5. Are there any specific instructors you wish to recommend for future consideration?

--Same as today.
--This last fellow that was here today.
--Same as meeting held today 4/18/69. Someone that has worked with inmates, etc.
--Send more people with experience in prisons.

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	8	9	4	3	4
b. space	8	7	4	4	5

2. Do you have any suggestions in regard to facilities for future training sessions?

--More of same type training and films.
--In better buildings.
--Cover one subject at each training session.
--A better sound proofed room, one in which speaker can be heard.

IV. Your constructive criticism is appreciated.

--Very interesting.
--More of this type training.
--Would like to have the instructor again.
--It should be switched around so one shift will not have to do all the doubling.
--I feel today's session was the best one we have ever had. The man was very qualified and experienced.
--Speaker did not use mike enough and was difficult to hear - otherwise best session so far.
--This is a very good training program, of course the pay scale could be a little higher.
--Thank you.

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: May 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Gerald Lumsden

TOPIC: The Prison as a Rehabilitation Agency

VITA

NAME: Gerald H. Lumsden, II

DEPARTMENT: Sociology

RANK: Instructor

DEGREES EARNED: University of Missouri AB Sociology
University of Missouri MA Sociology

HOURS EARNED ABOVE HIGHEST DEGREE:
University of Kentucky 24 Sociology toward Ph.D.

NUMBER OF YEARS TEACHING EXPERIENCE: 1 year

RESEARCH EXPERIENCE: 2 years as undergraduate in data processing
2 years research assistant

OTHER QUALIFYING EXPERIENCES: NIMH Fellowship

THE PRISON AS A REHABILITATION AGENCY

A. Emphasis is no longer on punishment but on rehabilitation.

1. For many years it was believed that prisons were breeding grounds for crime and that prisons adversely affected all prisoners.

2. If fair and humane treatment is the rule prisons will not perpetuate crime.

3. The offender's future often depends upon his prison experience.

B. The correctional officer and correctional matron must be understanding while maintaining control.

1. Rapport must be established with the inmate.

THE PRISON AS A REHABILITATION AGENCY

Gerald H. Lumsden II

My topic in this presentation is the prison as a rehabilitation agency. When I was given this topic, I had, at first, two objectives in mind. The first objective was to explain how rehabilitation was possible. At least, from a sociological point of view, how a successful rehabilitation program could be instilled. My second objective was to explain why rehabilitation programs in prisons were often unsuccessful. In explaining these objectives to Mr. Scott, who as I am sure you all know heads up these lecture series, the point was stressed that I should keep in mind that this audience was probably one which was unacquainted with sociological terminology. As in the case of most disciplines, sociology has built up its own unique vocabulary, and it is often difficult for one outside the discipline to understand the exact meaning of many of the words employed in sociology. Therefore, Mr. Scott advised me to keep my presentation as simple as possible. I may have been more successful than Mr. Scott's wildest expectations.

My first objective is to explain, at least from a sociological perspective, why rehabilitation is possible. Sociologists are concerned with study of a number of different things. They study bureaucratic organizations, military

families, hospital hoboes, prisons and so on. They study these orgainzations and occupants because they are interested in what patterns human interaction. One of the things that they have discovered which patterns human interaction is roles. For example, consider us here today. I am here in my role of guest speaker, and you are here in your role of learners. There are numerous roles, and we all play numerous roles. For example, I am a teacher, sociologist, husband, and guest speaker.

Now, the importance of roles, at least for the purpose of rehabilitation, is their impact on personality. That is the roles we play to a large extend determine our personality. A stark portrayal of the impact that roles have upon personality can be gained from Bittleheim's account and analysis of life in German concentration camps. The Nazis forcibly modified the roles and, hence, the behavior of the inmates of the concentration camps to a devastating degree. Bittleheim, a psychologist, was himself imprisoned at Daehau and Buchenwald. He indicates that, although the prisoners generally attempted to maintain their self-image in terms of their pre-concentration camp roles, the fact of their role placements required modification in their behavior and had marked consequences for their personalities.

"If the author should be asked to sum up in one sentence what, all during the time he spent in Dachau, was his main problem, he would say to safeguard his ego in such a way that, if by any good luck he should regain his liberty, he would be approximately the same person he was when deprived of liberty. The writer feels that he was able to endure the transportation and what followed because he convinced himself that these horrible and degrading experiences somehow did not happen to him. The importance of this attitude was corroborated by statements of other prisoners. They crouched their feelings usually in such terms as "the main problem is to remain alive and unchanged". The prisoners developed a feeling of detachment, feeling as if what happened did not really happen to them as persons. The feeling of detachment which rejected the reality of the situation might be considered a mechanism safe-guarding the integrity of the prisoners' personalities.

With the passage of time, the inmates found it increasingly difficult to think of themselves in terms of their former roles. They modified their behavior still more in keeping with the demand of their new roles, with further consequence for their personalities.

"All the emotional effort of the new prisoners seemed to be directed toward returning to the outer world as the same person

who had left it. Old prisoners seemed mainly concerned with the problem of how to live well within the camp. Once they had reached this attitude, everything that happened to them, even the worst atrocity, was real to them. No longer was there a split between one to whom things happened and the one who observed them. When they reached this stage, the prisoners were afraid to return to the outer world.

Bittelheim also tells us how the behavior demanded of the inmates by virtue of their new role and discusses some of the implications of this behavior for their personality.

The prisoners were tortured in a way that a cruel and domineering father might torture a helpless child. At the camp they were also debased by techniques which went much farther into childhood situations. They were forced to soil themselves. The prisoners were forced to say "thou" to one another which in Germany is used indiscriminately only among small children. They had to address the guard in the most differential manner, giving them all their title. As a result of this treatment, the prisoners became like children.

In some cases, old prisoners came to model themselves after their guards and to internalize -to incorporate within themselves- the guards values and beliefs. Responding through

time within the context of their new roles, the inmates' personalities underwent radical modification and became like their Gestapo guards.

Old prisoners, when in charge of others, often behaved worse than the Gestapo. Most old prisoners took over the Gestapo's attitude toward the so-called unfit prisoners.

What has been going here? Essentially what happened in this case was what the prisoner, by being forced into new roles, were socialized into new personalities with new values and beliefs. This is the same process which has occured in the case of American prisoners of war during the Korean War. They were brain washed in the same way. You see what they did in these cases was to: (1) isolate, (2) strip of old identity, (3) teach the inmate new behavioral expectations that is new role, (4) give the inmate a new personality.

Why doesn't this occur in our prisons? After all, these prisoners were re-socialized -that is rehabilitated- and their process, as described by Bittleheim bears certain similarities to that of the process that goes on in American prisons. To explain this, let me explain a social psychological experiment.

We wouldn't allow necessarily brutality to reduce people only to interact with their guards as in a father-son relationship.

If we cannot use this approach to rehabilitate prisoners, maybe the process of socialization itself can tell us a method to rehabilitate prisoners that we can use., or at least give us some clue as to what to do. Socialization, of course, is a never ending process. Most sociologists agree that normal and deviant behavior are acquiring in the same way. Let us take a deviant example to show how people are normally socialized into a role. Howard S. Becker has studied how people come to use marihuana. It is only through interaction with others with other deviates, in this case of marihuana users, that an individual gains a conception of the meaning of the behavior in question and a self-conception that makes the behavior possible. He learns to know and internalize the norms, values and beliefs associated with marihuana usage and, hence, becomes equipped to play the role of a marihuana user.

Marihuana is not a narcotic drug. It is not habit forming and does not create withdrawal symptoms or ineradicable cravings. It is used primarily for recreation, but the process by which a person learns to use marihuana is quite similar to that involved in the use of narcotic drugs.

The novice who smokes marihuana for the first time is unlikely to get "high". Marihuana cannot be smoked like

tobacco if one is to get sufficient dosage to produce geniune symptoms. One user has to say to the novice, "Take in a lot of air, get the air deep down in your system, then keep it there."

Hence, the first step in the sequence of becoming a marihuana user is learning to smoke the drug properly. It is manifestly impossible for the user to develop a conception of the drug as an object of pleasure and continue his indulgence if "nothing happens" upon smoking it. Therefore, he must associate with users of marihuana and through social interaction learn the proper technique. Socialization may occur through direct teaching, but many new users are ashamed to admit ignorance and pretending to know already, learn through observation and imitation.

Still a second step is essential for becoming a marihuana user. The individual must come to recognize the symptoms produced by the drug and consciously connects these symptoms with his having smoked marihuana. But typically the novice has faith in the experience and through conversation with other users becomes aware of the specific sensations. He becomes "clued in" to feelings of coldness and rubberiness in the limbs, dizziness and tingling, extreme hunger, a mild sense of well being and heightened sensitivity to external stimuli.

A final step necessary for continued marihuana usage is that the user enjoy the sensation he has learned to experience.

PART II

To understand why rehabilitation is often unsuccessful, we have to understand something about why prisons are organized as they are. It is a cliché of modern penology that placing the offender in prison is for the purposes of punishment, deterrence, and reform. There is a beguiling neatness and simplicity about the formulation.

The idea of punishment as the purpose of imprisonment is plain enough--the person who has committed a wrong or hurt must suffer in return. The State, through its agent the prison, is entitled, if not morally obligated, to hurt the individual who has broken the criminal law. Imprisonment should be punishment, not only by depriving the individual of his liberty, but also by imposing painful conditions under which the prisoners must live with in the walls.

The idea of deterrence as the aim of imprisonment is somewhat more complicated, for the argument contains three parts which need to be treated separately. First, it is claimed that for those who have been imprisoned the experience is or should be sufficiently distasteful to convince them that crime had best be avoided in the future. This decision to forego crime is not expected to come from a change in the attitudes and values

concerning the wrongness of crime. Rather, it supposedly flows from a sharpened awareness of the penalties attached to wrong doing. Second, it is argued that imprisonment is important as a deterrent not for the individual who has committed a crime and who has been placed in prison but for the great mass of citizens who totter on the edge. The image of the prison is supposed to check errant impulses, and again it is fear rather than morality which is expected to guide the individual in his action. Third, there is the assertion that the deterrent effect of imprisonment is largely a matter of keeping known criminals temporarily out of circulation and the major aim of imprisonment is to keep offenders within the walls where they cannot prey on the free community, at least for the moment.

When we turn to the idea of imprisonment as reform, it is clear that there are few who will quarrel with such a desirable goal--the disputes center on how it can be accomplished, if at all. In seeking to use imprisonment for the rehabilitation of the offender, the aim is to eradicate those causes of crime which lie within the individual and imprisonment is commonly regarded as a device to hold the patient still long enough so that this aim can be achieved.

We may call these diverse ideas (punishment deterrence or rehabilitation) about the proper aims of imprisonment the goals of the prison. That is, these diverse ideas are the functions of the prison. We can now turn to the translation of these ideas into the organizational rules and procedures of the prison. What we hope to show is that:

(1) When these ideas about the proper aims of imprisonment are translated into the social organization of the prison, they are incompatible; that is, they compete with one another.

(2) It is this competition that often leads to rehabilitation programs being often unsuccessful.

We have tried to indicate that the prison is an instrument of the State, an organization designed to accomplish the desires of society with respect to the convicted criminal. But this, after all, is only a general statement. It does not tell us how the dictates of society are transformed into action in the prison. The societal aims, punishment, deterrence and/or rehabilitation, assigned to the prison must be given priorities; these general social objectives must be transformed into specific organizational aims. Assumptions must be made about the nature of the criminal and his reaction to confienment, and the limitation placed by society on what the prison can do to carry out the dictates of society must be taken into account. In short, the order which the prison

officials struggle to impose on the inmates represents the outcome of choices among alternatives.

Now it is true that keeping criminals confined can be agreed on as a necessary measure whether retribution, deterrence, or reform is taken as the only proper aim of imprisonment. Being held in custody can, as I have tried to indicate, be viewed as a means of paying back the offender, a method of discouraging the criminal, or a device for maintaining access to the patient. Beyond this point, however, the translation of general societal aims into specific organizational procedure runs into difficulty.

First, there is the question of what steps must be taken to insure custody. The difficulty of holding men against their will are commonly recognized. But there are many critics who believe that far too great an emphasis is placed on custody and that the many measures used to prevent escapes constitute a backward, irrational ritual. Those who stress custody are, from this point of view, typical examples of the bureaucratic personality and custodial routines are simply the result of a punitive orientation toward the criminal. The endless precautions, the constant counting of the inmate population, the myriad regulations, the periodic searches--these, it is held, are the expression of hatreds rather than reason. Criticism

is not actually directed against custody per se but against precautions to prevent escapes which are carried too far. This is the reason for distinction between a maximum security and a minimum security.

Second, there is the question of the standard of living which is to be accorded the prisoner. Those who hold that retribution or deterrence should be the primary task of the prison are inclined to believe that the mere loss of liberty is insufficiently painful to accomplish these ends. Those, however, who hold that reformation is the major aim of imprisonment--who feel that if the prisons fail to reform they fail altogether--are apt to argue that additional penalities present an insuperable barrier to therapy. Repression within the prisoner simply breeds new antagonisms, creating a situation which is almost completely the opposite to modern concepts of psychiatric care.

Third, men in maximum security prisons must somehow be supported and the traditional solution has been that inmates should support themselves as far as possible. Yet this raises a number of difficult issues. The State views the labor of prisoners with deep ambivalence. Society demands that the prison take on the appearance of a self-sustaining community.

The organization of the inmate population into a labor force capable of supporting itself may, however, create serious custodial problems in addition to eleciting cries of outrage from private enterprise in the free community. Strict concern for a view of work as part of the criminal's punishment also can destroy a program of efficient production. Using work as a means of resocializing the adult offender may be dramatically opposed to both economic and custodial consideration.

A fourth problem in accommodating the goals assigned to the prison revolves around the issue of internal order. The freedom of the prisoner whether it is granted in the name of humanity, economic efficiency or rehabilitation, creates a situation in which crimes among inmates are possible. Theft, murder, fraud, sodomy--all exist as possible acts of deviance within the prison and the prison officials have the duty of preventing them from being converted into realities. However, difficulties arise at tow points. First, there is the question of the specific measures which must be taken to insure the maintainence of order. Second, there is the question of the priority to be attached to the maintenance of order as opposed to possible competing objectives. If extensive regulations, constant surveillance and swift reprisals are used, prison officials are likely to run headlong into the supporters of

rehabilitation who argue that such procedures are basically opposed to the rehabilitation treatment.

Let us now turn our attention to the tasks of custody, punishment and rehabilitation in a little more detail.

First, the task of Custody. There seems to be little doubt that the task of custody looms largest in the eyes of prison officials. The prison exists as a dramatic symbol of society's desire to segregate the criminal. The prison wall, that line between the pure and the impure, has all the emotional overtones of a woman's maidenhead. One escape from the maximum security prison is sufficient to arouse public opinion to a fever pitch, and an organization which stands or falls on a single escape moves with understandable caution. The prison official, in short, knows which side his bread is buttered. His continued employment is tied up with the successful performance of custody, and if society is unsure of the priority to be attached to punishment or rehabilitation, the overriding importance of custody is perfectly clear.

If the walls and its guards were sufficient to prevent escapes, the task of custody in prisons would be relatively simple. In fact, however, these barriers are effective only because of a wide variety of security measures which must be

carried out deep within the prison itself. Searching cells for contraband, repeatedly counting all inmates to insure that each man is in his appointed place, censoring mail for evidence of escape plans, inspecting bars, windows, gratings and other possible escape routes--all are obvious precautions. The custodians, however, do not stop with these. They have found, to their bitter knowledge, that in a maximum security prison the most innocent appearing activity may be a symptom of a major breach in the institution's defenses. Pepper stolen from the mess hall may be used as a weapon, to be thrown in a guard's eyes during a bid for freedom. A prisoner growing a moustache may be acquiring a disguise to help him elude the police once he has gotten on the other side of the wall. Extra electrical fixtures in a cell can cause a blown fuse in a moment of crisis. A fresh coat of paint in a cell may be used by an industrious prisoner to cover up his handiwork when he has cut the bars and replaced the filings with putty.

All of these seemingly innocent acts and many more like them are prohibited therefore by the regulation of the prisoner. If it is argued that this elaborate system of regulations, which is established in the name of custody, destroys any hope of developing personal interaction with the prisoner so that

he may be treated, well that's too bad.

Second, let's talk a little more in detail about the task of punishment. It is sometimes said that criminals are placed in prison not for punishment but as punishment. The stress here is being placed on the idea that the officials of the custodial institution are determined not to hurt their inmates either physically or mentally beyond the pain involved in confienment ifself. In a certain sense, this would be true of administrators of prisons. There is very little evidence in the day-to-day operation of the prison that the officials have any desire to act as avenging angels, nor do officials exhibit much attachment to the idea that a painful period of imprisonment is likely to deter the criminal who has been confined. The reappearance of discharged prisoners has made them grow too cynical on that score.

It is true that punishing physical conditions are still inflicted on inmates in some prisons to some extent, as the film we are to see shortly indicates.

Yet, if the prison officials are not motivated by a desire to inflict punishment, how are the many deprivations imposed on the inmates to be explained. Why, for example, in so many prisons are:

(1) prisoners permitted to spend so very little each month at the inmate stores for items such as tobacco, candy, soap, etc.

(2) Why is so-called happy work so often sharply curtailed.

(3) Why is the number of visits and letters from the outside world which are allowed the prisoner so small.

These, indeed, are the questions often raised by the inmates themselves, and they believe they know the true answer: the officials wish to punish the prisoners but they cannot openly admit it. The claim of the officials that the many punishing features of prison life are inflicted in the name of custody and internal order is simply viewed as a rationalization. The "basic" motive of the officials, according to many inmates, is hatred of the confined criminal.

Now, it is certainly true that many prison officials believe that in general criminals should be punished. But to say that a desire for retribution is the basic or primary motive of the officials as they go about their daily routines is quite another thing. In fact, it would appear to be at least equally valid to claim that the maintenance of a quiet, orderly, peaceful institution is the dominant desire of the custodians and that the past criminality of the prisoners serves as a justification for the strict controls which are imposed to achieve this end. The objective of eliminating

incidents is not a rationalization for inflicting deprivations on the criminal within the prison. Rather, the reverse is true. The prior deviance of the prisoner is a rationalization for using such extreme measures to avoid any events which would excite public indignation. Punishment is sacrificed to custody.

Third and finally, let us discuss the task of reform in a little more detail. If the officials on most prisons are relatively indifferent when it comes to punishing their prisoners for their past sins, they are usually even more indifferent when it comes to facing their prisoners from sins in the future. It is true that there is frequent mention of "individualization of treatment", "correction", "self-discipline", "a favorable change in attitude", etc. It is also true within the prison itself a number of counsellors, a chaplain, a psychologist, sometimes a psychiatrist, even once in a while a sociologist who have the duty of somehow implanting that inner conviction in the offender, which will keep him from the path of crime when he is released. Allegiance to the goal of rehabilitation tends to remain at the verbal level, an expression of hope for public consumption rather than a coherent program with an integrated professional staff in most prisons.

There are, of course, those who claim that any attempts to rehabilitate the criminal in prison are futile. Some argue that the causes of criminal behavior do not lie within the individual himself, but in the social environment, in the form of slums, poverty, underworld associates, etc. Since the prison experience does not and cannot touch these, imprisonment is a waste of time as far as reformation is concerned, and to place an individual in custody for breaking the law is as foolish as looking up a dollar bill because it has lost its purchasing power. Others argue that the causes of crime are to be found deep in the individual's unconscious mind. Prison officials are not equipped by either training or experience to eradicate these causes. In any case, the authoritarian custodian-prisoner relationship is enough to warp the mind of the innocent, let alone the guilty. In fact, in so as rehabilitation of the prisoner is seriously considered as a basis for the formation of administrative policy, most officials tend to take the position that is a mixture of faith and cynicism. If progress is impossible, then one should at least fight against retreat.

In many of the prisons today this view of the task of reform as a holding action finds expression as an attempt to avoid the more corrosive abnormalities of prison existence.

Provisions for medical care, recreation, schooling, library facilities, visiting privileges--all, it is held, make the prison less of a prison, and may be justified on the grounds that at least they do no harm and perhaps may do some good.

To summarize, the prison takes its goals and directives from the larger society. The custodians having limited means which minimlizes the possibility of escapes and disturbances within the walls. Rehabilitation is perhaps the lowest on the list of objectives of prison.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
MAY 1969
GERALD LUMSDEN
"THE PRISON AS A REHABILITATION AGENCY"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Do you feel the instructor was qualified to present the program?	1	3	3	1	1
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	1	4	2	1	1
3. Did the instructor:					
a. Stimulate interest in the subject matter?		5	2		2
b. Show mastery of the subject matter?	1	2	4	1	1
c. Present material in a clear and logical manner?	2	3	2	1	1
d. Welcome questions?	2	3	3	1	
e. Answer questions adequately?	1	3	3	1	1
f. Teach above participant's level?	1	2	4	1	1
g. Make the participant feel at ease?	1	2	2	2	2
h. Speak clearly and distinctly?	1	4	2	1	1
i. Attempt to cover too much material in the time available?	1	1	6	1	
4. Was the video equipment used in his presentation effective?	1	3	3	2	
5. Are the following arrangements for the course satisfactory?					
a. time of day	1	2	5	1	
b. day of week	1	3	5		
c. room (overnight accomodations)	1	3	5		
d. classrooms	1	3	5		

Comments:

--No Comments

6. Generally, what is your evaluation of the course Instruction?

--Part of it was very interesting, some of it sounded good but would not work in our case, but was presented in a good and uniform manner.
--Good

II. Curriculum

E	G	S	F	P
		5	3	1
	1	3	4	1
1	2	4	2	

1. Do you feel that the subjects being taught are pertinent to your work?

2. Are the topics sufficiently stimulating to inspire further research into the subject?

3. In your opinion was the course content broad enough (covered enough material)?

4. Are there any subjects you wish to recommend for future curriculum building?

--If our rehabilitation program is good, what causes a returnee?

5. Are there any specific instructors you wish to recommend for future consideration?

--Please be sure we meet the objectives and purpose of the program.
--How to spot trouble makers or con men before trouble starts.

III. Facilities

E	G	S	F	P
1	2	5	1	
1	2	5	1	

1. Were the training facilities adequate?

a. lighting

b. space

2. Do you have any suggestions in regard to facilities for future training sessions?

--A picture is worth a 1,000 words.

IV. Your constructive criticism is appreciated.

--If the objectives and purposes of the training program are being met, then please revise the total program in order to have more effective programs. Would like instructors to emphasize more on present conditions

and quit patting themselves on the back on how much <u>they</u> have done to improve the system.

A. If a man is found guilty of a crime, public opinion is to send him to prison.

B. If a man is sent to jail, public opinion is to be easy going and lenient on a prisoner. We have movies and TV series on crime, escapes, law enforcement and how the law captures criminal and of their sentence.

C. I would think that a series of a prisoner that has been rehabilitated can return to society and become a responsible citizen.

--Public opinion has "Once a convict, always a convict."

--Let's wake the public up that a man sentenced to prison can return to normal life if given a chance by the public.

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: June 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Marvin Baker

TOPIC: Searches and Shakedowns

VITA

NAME: Marvin Baker

ADDRESS: Louisville, Kentucky

FAMILY: Wife - 1 son

EDUCATION: Graduated from University of Kentucky in 1931 with BS and MS

EMPLOYMENT: Has been agent in FBI since 1942 and has been agent in Kentucky since February 1965.

Prior to coming to the Bureau, he was professor of chemistry and Dean of College at Bethal College in Russellville, Kentucky.

Prior to being at Bethal College, he was a teacher at State Teachers College in Kentucky.

He has been an instructor in law enforcement for the Bureau before he ever came to Kentucky.

ORGANIZATIONS: He belongs to various scientific organizations and fraternities.

SEARCHES AND SHAKEDOWNS

A. Introduction

B. Proper Arrest Procedures

1. Searches and Shakedowns

C. Method of Handcuffing

1. Effectiveness of Handcuffs

D. Strategic Hold

E. Disarming

F. Proper Use of a Weapon

SEARCHES AND SHAKEDOWNS

Proper Arrest Procedure: When an officer must effect an arrest, it is of upmost importance that he shows his authority with confidence. Too many times officers will allow an offender to escape because of his ineffective method of placing a person under arrest. The most expeditious method is usually the best.

Handcuffing: The officer should study the cuffs before confronting the arrestee. He sould make sure the swivel bar is down and can be snapped on hurriedly. His hands should be placed between the two cuffs in a manner that the arrestee cannot use them as a vise on his fingers. The key hole could be placed outwards so that upon arrival, the cuffs can be unlocked easily.

All this act should be completed authoritatively and expeditiously.

Remember that the cuffs are a temporary restrainer. They can be very easily picked-any smooth small instrument (i.e. hairpin, toothpick, match stem) can be inserted between the cuff teeth and lock and the cuff may be sprung. At this time the prisoner has a very lethal weapon at his disposal.

One cuff on his wrist and the other acting as a hook.

In cuffing the arresting officer should make the prisoner lean up against a building, car or whatever is available. He should make him spread his feet until he is in an uncomfortable position. He should cuff one hand, make the prisoner support himself by his head against the wall, and then cuff the other hand. Never should he be cuffed in front unless he has a belt cuff.

Special Note: If using a car as a support, be sure the prisoner cannot obtain a weapon from inside.

Strategic spots which may be remembered to take fight out of a prisoner:

(1) shins
(2) adams apple
(3) pit of back
(4) upper part of nose
(5) groins

Strategic holds on prisoner:

(1) hammer lock; how to effect this
    a. standing
    b. lying
(2) Full Nelson

Proper Use of a Weapon. Using a weapon to effect the arresting of an offender requires upmost discretion. There

are too many ways an officer can be disarmed. The weapon should be kept out of reach at all times. When cuffing, one should make sure, if he has to holster it, that the weapon is kept away from the prisoner. He should not cram the gun into the holster because this is a sign to the assestee that he doesn't have the gun in his hand. This should be done quietly.

One should never prod a prisoner with the gun barrel. This leaves you in a very vulnerable position. Prod with the finger.

Planning. When time will allow, plans should be made by all concerned in making arrests. Being undermanned is a primary cause of officers' deaths. Not having a planned approach in which all personnel involved are aware is another reason. The scene should be sketched and men placed on certain posts. All law enforcement agencies should be notified and oriented to the plan.

Movie.

Every law enforcement officer who makes an arrest or who handles a prisoner at a place of detention faces the important task of searching the person of this individual.

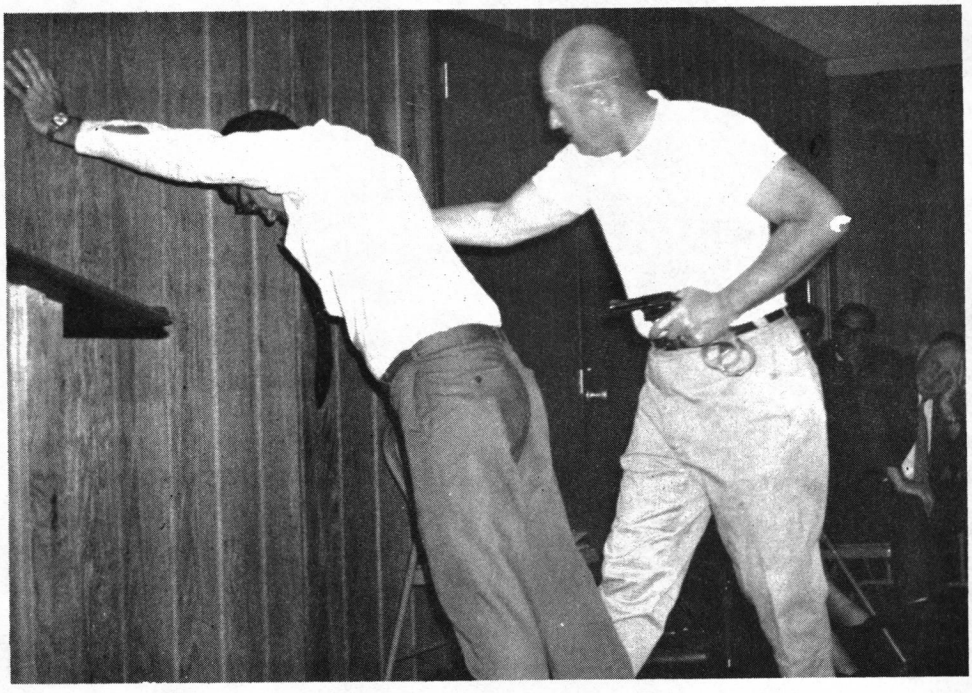
This duty, unfortunately, often becomes routine to an officer who makes many arrest or who handles many prisoners daily.

Every officer who searches a person must be fully cognizant of the dangers involved. He must know and understand safe and effective techniques of conducting personal searches. Too many officers' lives have been lost, too many prisoners have committed suicide, and too many have effected escape because of careless and incomplete searches of a prisoner's person either at the time of arrest or prior to incarceration.

Webster's definition of search is: "To subject to a thorough inspection, as for concealed weapons."

Purpose. A preliminary search is conducted to (1) remove from the prisoner concealed weapons or other articles which could be used to kill or injure the arresting officer or some other person; (2) remove articles which might be used by the prisoner to commit suicide or injure himself (responsibility for the well-being of a prisoner rest squarely on the arresting officer); (3) remove articles which might assist the prisoner in an attempted escape; and (4) prevent destruction of evidence.

A final search (strip search) is made to locate and remove from the prisoner any weapons, contraband, articles of evidence, or other materials which are concealed on his body, or in his clothing, and which may not have been discovered during the preliminary search.



Mr. Marvin Baker, FBI Agent, Teaches Correctional Officers proper Arrests and Seizure Techniques.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
JUNE 1969
MARVIN BAKER
"SEARCHES AND SHAKEDOWNS"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Do you feel the instructor was qualified to present the program?	14	4	1	2	
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	13	4	2	1	
3. Did the instructor:					
a. Stimulate interest in the subject matter?	11	7	2	1	
b. Show mastery of the subject matter?	12	7	1	1	
c. Present material in a clear and logical manner?	11	7	1	2	
d. Welcome questions?	12	6	1	2	
e. Answer questions adequately?	12	6	1	2	
f. Teach above participant's level?	11	8	1	1	
g. Make the participant feel at ease?	12	8	1	1	
h. Speak clearly and distinctly?	11	7	1	2	
i. Attempt to cover too much material in the time available?	10	8	1	1	1
4. Was the video equipment used in his presentation effective?	11	6	2	1	1
5. Are following arrangements for the course satisfactory?					
a. time of day	7	9	1	4	
b. day of week	8	8	1	4	
c. room (overnight accomodations)	7	9	1	4	
d. classrooms	8	8	1	4	

Comments:

--Very good.

6. Generally, what is your evaluation of the course Instruction?

--No Comment

II. Curriculum

E	G	S	F	P
13	7	1		
12	8	1		
11	8	2		

1. Do you feel that the subjects being taught are pertinent to your work?

2. Are the topics sufficiently stimulating to inspire further research into the subject?

3. In your opinion was the course content broad enough (covered enough material)?

4. Are there any subjects you wish to recommend for future curriculum building?

--Custody
--Along this line of training with more time for further study and training.
--More of this type.

5. Are there any specific instructors you wish to recommend for future consideration?

--Mr. Baker
--Mr. Walker

III. Facilities

E	G	S	F	P
10	5	2	4	
11	8	2		

1. Were the training facilities adequate?

   a. lighting

   b. space

2. Do you have any suggestions in regard to facilities for future training sessions?

--Good

IV. Your constructive criticism is appreciated.

--Very interesting
--More of this type

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: July 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: George Rabe

TOPIC: The Law and Its Effect on Prison Personnel

VITA

NAME: George Rabe
Assistant Attorney General

DEGREES EARNED: Pre Legal Education - Covington Latin 1948
Syracuse University 1952
LLB Degree from - Georgetown University Law Center, Washington, D. C. 1959
Admitted to Bar in Washington, D.C. - 1959

ACTIVITIES: Member of the Staff for Georgetown Law Journal
Member of Georgetown University Law Center Legal Aid Society.

LEGAL EXPERIENCE: Law Clerk to Judge George L. Hart, Jr., United States District Court, Washington, D.C.
Appointed Assistant Attorney General for State of Kentucky in 1963

THE LAW AND ITS EFFECT ON PRISON PERSONNEL

A. Operations

1. Responsibilities

a. Custody

B. Authority

1. Powers of Arrest

a. Kentucky Revised Statutes

2. Escape

a. Kentucky Revised Statutes Governing Escape
b. Reasonable Force
c. Relative Cases

3. Rioting and Disturbances

a. Physical Control

4. Powers of Regulation

a. Descipline for prisoners
b. Limitations

DEPARTMENT CHANGED UNIT MANAGEMENT
OF PENAL REFORM IN CORRECTIONAL INSTITUTIONS

The operation of prisons and jails is an indispensible part of the administration of criminal law. In short, they are a public necessity. They are a part of the police system for the preservation of order and security of society and are established by the State in the exercise of its sovereign powers.

One of the most serious aspects of a prison, and perhaps, without this there would be no reason for its existence, is the preservation of order and exercise of control over the prisoners. Responsibility for the discipline of prisoners and their compliance with prison regulations is entrusted to prison offciers.

KRS 196.037 provides that all prison personnel, while acting for the Department of Corrections in any capacity entailing the maintainence of custody over prisoners, shall have the powers of peace officers.

The powers of arrest of a peace officer are defined in KRS 431.005 which provides that:

> (1) A peace officer may make an arrest in obedience to a warrant, or without a warrant, when a felony or misdemeanor is committed in his presence or when he has reasonable grounds to believe that the person being arrested has committed a felony.

The preceding statutes provide the basic powers in which you, as peace officers, must function. Within this framework,

the enforcement of prison regulations and the control of prisoners must be exercised. Prison officers are generally vested with a certain amount of discretion with respect to the safe-keeping, security and discipline of prisoners; and their acts, in this aspect, should be upheld, if reasonably necessary to effectuate the purpose of imprisonment, so that the courts will not interfere where it does not appear that they misused their power for the purpose of oppression.

An escape has been broadly defined as the voluntary departure of a person from the lawful custody of an officer or from any place where he is lawfully confined. In other words, an escape is the act of a prisoner in regaining his liberty before being released in due course of law.

An actual escape takes place when a prisoner gets out of prison or any place in which he may be confined or from and out of the authority in whose custody he is and unlawfully regains his liberty, free from the authority and control of the power entitled to restrain him. The very foundation of the crime of escape is the lawful confinement of the prisoner.

As peace officers, you are empowered with the right to pursue prisoners who forcibly make their escape from lawful custody. Arrest may be made under warrant obtained for that purpose or without a warrant if there is not sufficient time

to obtain a warrant before commencing the pursuit. An officer on fresh pursuit may search without a warrant any premisis in which he has reasonable ground to believe the prisoner is hiding and for that purpose may force an entry into the premisis to be searched after due demand for and refusal of admission.

In Kentucky, an escape is regarded as a felony, punishable by a sentence of not less than three nor more than six years in the penitentiary. In KRS 432.290, the escape of a convict from a penitentiary or custody is succinctly defined in these terms:

> "(1) Any person convicted of a crime who, while serving a sentence of imprisonment in the penitentiary, escapes from the penitentiary or wherever he may be confined, or attempts to escape by concealing himself within the confines of the institution, or flees from whatever bounds he may be assigned, whether under guard or as a trusty, shall be further confined in the penitentiary for now less than three years nor more than six years, to commence after he has served out the sentence for which he was originally confined.
>
> (2) Any convict confined in a locked cell, dormitory or hospital or other lockup in the penitentiary who escapes therefrom to another part of the penitentiary, or aids another convict in doing so, shall be confined in the penitentiary for not less than one year nor more than six years, to commence after he has served out the sentence for which he was originally confined."

Section 1 of this statute includes as an escape the actual departure of the prisoner from the penitentiary, hiding within

the prison confines for the purpose of escaping, attempting to escape over the physical boundaries of the prison, or fleeing from whatever area or perimeter he has been designated to stay within.

Section 2 concerns the escape of the convict from his appointed area of confinement, whether it be a locked cell, dormitory, hospital or other lockup, to another part of the penitentiary. Suffice it to say that an offense under this statute, for all practical purposes, would have to be in direct violation of confinement orders.

Upon the escape of a prisoner, the superintendent of the penitentiary shall issue a warrant to all peace officers and other persons authorizing and requiring them to capture and convey the convict to the penitentiary. These are the substantial provisions of KRS 440.010.

This leads us into the problem of apprehending the escape and what force may be used to arrest. Generally, a peace officer is authorized to arrest without a warrant where he has reasonable cause to believe a felony has been committed and that the person to be arrested is the one who committed it. Since an escape by a convict from a penitentiary is classified as a felony in KRS 440.010(1), the peace officer is authorized to make an

arrest when he believes, on reasonable grounds, that the person arrested is the person who escaped.

When a peace officer has the right to make an arrest, he may use whatever force is reasonably necessary to apprehend the offender and no more; he must avoid using unnecessary violence. If the offender resists, the officer may use such force as may be required under the circumstance to overcome the resistance. A police officer attempting to put a prisoner in a cell is in a manifestly different position from an ordinary civilian engaged in a physical encounter. The civilian's duty is to cease offensive measures when in a position of reasonable safety. The obligation of the officer is a positive one requiring him to go forward with his duty even after he is assured of his personal safety.

If necessary to prevent the escape of one whom he has arrested, or to recapture him if he escapes, an officer is generally privileged to use that degree of force, and only that, which he might rightfully have use to effect the original arrest. An officer, in attempting to make an arrest in case of felony, has the right to use all the force that may be necessary to overcome resistance; and if the officer uses no more force than is necessary (reasonably) to make the arrest, he has committed no crime.

What amounts to reasonable force on the part of the officer making an arrest depends on the facts of each particular case. The reasonableness of the force used must be judged in the light of the circumstances as they appeared to the officer at the time he acted, and the measure is generally considered to be that which an ordinarily prudent and intelligent person, with the knowledge and in the situation of the arresting officer, would have deemed necessary under the cricumstances. The test, then, is an objective one.

The measures a peace officer may take in attempting to make an arrest for a felony are set out in Young vs Amis, 220 Ky. 484, 292SW431.432.

"In arresting a person who has committed a felony, an officer has the right to use such force as is necessary, or appears to him to be necessary, for the purpose, even to the taking of the felon's life, but an officer is not justified in killing one in order to effect his arrest or prevent his escape on mere suspicion that he has committed a felony, and in such case he acts at his peril, and can justify only on the ground that felony has been committed."

This view has been adopted by Kentucky courts and is affirmed in Johnson vs Chesapeake and Ohio Railway Company, 259 Ky. 789, 83SW2nd521.

Even in felony cases, however, the officer may be criminally responsible or civilly liable if he uses more force than is necessary to effect the arrest. (Johnson vs Williams' Almr., 111 Ky. 289, 63SW759.) But this same case states that if in the pursuit the felon is killed where he cannot be otherwise taken, the person who killed him may not be held criminally responsible.

The next matter to be discussed is what force may be used in order to quell a riot.

Rioting or damaging penitentiary property by inmates is covered in KRS 432.505. This statute makes it a felony for any prisoner to incite or participate in a prison riot, or similar disturbance or to willfully destroy or damage state property, and shall, upon conviction, be confined to not less than one year nor more than five years. The same sentence applies to section two for any prisoner who holds any person as a hostage for any reason.

What actually constitutes a riot within a penitentiary is perhaps not subject to the same definition of the elements of a riot in a city. But the basic principles are comparable. With respect to riot, the following has been given recognition by our own Court of Appeals in Spring Garden Insurance Co. vs

Imperial Tobacco Co., 132 Ky. 7, 116 SW234,236.

> "Whorten in his work on Criminal Law (volume 2, 1547, 1544, defines a riot as a tumultuous disturbance of the public peace by an unlawful assembly of three or more persons in the execution of some private object."

This definition is basically applicable to a riot in a penitentiary, but with some advantageous exceptions. KRS 432.505 does not restrict a prison riot to an assembly of at least three persons, but governs when "any prisoner who incites or participates in a prison riot". This covers a single-man instigator, or a single-man participator after a riot has begun.

The unlawful assembly can be more strictly construed in a penitentiary than otherwise, because prisoners are specifically appointed to prescribed areas of work, recreation and sleep. In addition, prisoners are classified to a particular job for a certain length of time, so that an unusual variance from his schedule provides some notice as to whether an assembly is lawful ro unlawful. Generally the act of rioting should be accompanied by acts of violence, although one need not exhibit an violent act to incite.

The force that can be employed in quelling a riot is a penitentiary is comparable to the force which may be used in arresting an escaped convict. Both offenses are classified

as felonies. Certainly as a matter of policy indiscriminate use of force should never be condoned. Prevailing circumstances must govern the amount of force to be used, but wide discretion is given to prison officials in the area of enforcement of prison discipline.

The wisest course for prison officers when a disturbance is anticipated or can be foreseen is to summon sufficient officers to counteract the riot. But resistance to an order of cease and desist can be met, not only with sufficient force as to end the disturbance, but to allow the prison officer free movement in the discharge of his duties. The prison officer must temper his haste in such a situation by a short consideration of what is the best method to prevent this felony from being carried to a greater degree. Certainly consideration must be given to the fact that a riot within a penitentiary is greatly infectious among other prisoners and quite likely to generate to a degree that control is all but impossible. These are all factors that must be considered in the justification of your actions.

By now you are probably curious to know exactly what degree of force may be used in each particular situation. Unfortunately, this is not a problem which can be answered with obvious rules of conduct. Each situation is governed

by a myriad of variables, each of which may be determinative in any number of fact situations. But the degree of force to be exercised--whether it is an oral command to surrender or involves the killing of a convict--should never exceed the amount of force necessary to overcome the resistance. The measure of force is controlled by: (1) the seriousness of the situation, (2) threat of harm to third parties, (3) the force of the convict or convicts to be faced and good judgement on the prison officers. In short, the force which may be exerted to quell a riot in a prison must be reasonable in relation to the resistance which must be overcome.

The next problem is the amount of physical control which may lawfully be exercised over recalcitrant prisoners. Incarceration involves a basic right of a citizen under our Constitution, that is to be secure in his person. The Constitution of this state speaks only in very general terms with respect to punishment in section 17 as follows:

> "Excessive bail shall not be required, nor excessive fines imposed, nor cruel punishment imposed."

KRS 197.020 (1) empowers the Department of Corrections to formulate and prescribe all necessary regulations and bylaws for the government and discipline of the penitentiary, the rules governing prison officials and for the government of the prisoners in their deportment and conduct.

This statute gives the Department broad powers in establishing regulations for the conduct of prisoners. This discretion of prison officials on matters purely of discipline, within their powers, is not open to review. This was held in Kastel vs Tinsley 337F.2nd845 (Tenth Circuit) (1964) where a prisoner sought release from solitary confinement on an application for a writ of habeas corpus. The prisoner had escaped and was placed in solitary pending an investigation. The Circuit Court of Appeals held that solitary confinement for extended periods for an attempted escape was not cruel and inhumane.

In 1954 the United States District Court of the Western District in Curtis vs Jacques 130F. Supp. 920, stated that Federal courts do not have the power, and that it is not their functions or responsibility, to control or regulate the management of State prisons and the treatment and disciplining of prisoners, or to interfere with the conduct of State prisons by State authorities. What this means is that the Government of the United States is not concerned with, nor has power to control or regulate the internal discipline of the penal institutions of the states.

Whereas, in Kentucky, the Court of Appeals has limited the exercise of control over state prisons to the state, ex-

cluding local jurisdictions. This authority is a central and single power vested in the General Assembly.

Although it is competent for the General Assembly to establish rules make for the purpose of maintaining good order in prisons, the immediate government of the prisons is entrusted to the Department of Corrections...As a necessary incident to this power to make regulations for the infraction of these rules. Consequently, it is the duty of convicts to submit to every command which a prison officer has authority to give. Prison discipline is necessarily peremptory and is not the subject of review in cases of gross excess.

It should always to remembered that prison officers of a penitentiary have no arbitrary power to select a mode of inflicting discipline on a prisoner as he may consider adequate. Therefore, the question whether any given measure of prison discipline can be authorized by those in charge of prisoners depends on whether such measure is reasonably necessary.

An officer cannot wreak his malice on prisoners under pretense of keeping the place of imprisonment safe, nor may he be harsh or brutal in managing them. In Howard vs State 28 Ariz.433, 237P203, 40ALR1275, it was held that to deprive

one convicted of perjury of all food but bread and water for thirty days, and to subject him to solitary confinement for five months, when he has conducted himself in all respects as a quiet, tractable prisoner, obedient to the rules of his abode is prima facie harsh and unreasonable treatment. This illustration is an obvious abuse of power.

Generally a prison official does not abuse his office by inflicting severe punishment in accordance with regulations which is necessary for the proper punishment of the prisoner or to securing his obedience to proper regulations. It is significant, therefore, to note that the trend both of penal statutes and judicial decisions construing them is toward a humane rather than a cruel treatment of prisoners.

CORRECTIONAL OFFICERS AND TREATMENT STAFF
JULY 1969
GEORGE RABE
"THE LAW AND ITS EFFECT ON PRISON PERSONNEL"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

I. Instruction

	E	G	S	F	P
1. Do you feel the instructor was qualified to present the program?	23	5			
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	20	8			
3. Did the instructor:					
a. Stimulate interest in the subject matter?	18	10			
b. Show mastery of the subject matter?	16	9	3		
c. Present material in a clear and logical manner?	26	2			
d. Welcome questions?	28				
e. Answer questions adequately?	27	1			
f. Teach above participant's level?	28				
g. Make the participant feel at ease?	26	2			
h. Speak clearly and distinctly?	28				
i. Attempt to cover too much material in the time available?	24	4			
4. Was the video equipment used in his presentation effective?	19	7	2		
5. Are the following arrangements for the course satisfactory?					
a. time of day	24	4			
b. day of week	24	4			
c. room (overnight accomodations)	24	4			
d. classrooms	24	4			

Comments:

--No Comment

6. Generally, what is your evaluation of the course Instruction?

--No Comment

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	25	2	1		
2. Are the topics sufficiently stimulating to inspire further research into the subject?	25	3			
3. In your opinion was the course content broad enough (covered enough material)?	25	2	1		

4. Are there any subjects you wish to recommend for future curriculum building?

--No Comment

5. Are there any specific instructors you wish to recommend for future consideration?

--No Comment

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	19	4	3	1	
b. space	19	4	3	1	

2. Do you have any suggestions in regard to facilities for future training sessions?

--No Comment

IV. Your constructive criticism is appreciated.

--No Cimment

GROUP: Treatment Staff, Correctional Officers and Matrons

DATE: August 1969

TIME: 8:00 A.M. to 12:30 P.M.

LOCATION: Kentucky State Penitentiary
Eddyville, Kentucky

Kentucky State Reformatory
LaGrange, Kentucky

INSTRUCTOR: Brett D. Scott

TOPIC: Individual Counseling

VITA

NAME: Brett D. Scott

DEPARTMENT: School of Law Enforcement
Eastern Kentucky University

RANK: Assistant Professor and Director of Corrections Project

DEGREES EARNED: Pikeville College BS 1959
University of Louisville MED 1967

NUMBER OF YEARS TEACHING EXPERIENCE: 7

NUMBER OF YEARS EXPERIENCE IN CORRECTIONS: 3

RESEARCH EXPERIENCE: Demographic study of Correctional personnel in Kentucky

INDIVIDUAL COUNSELING

A. Counseling is a major function in influencing change in attitudes and behavior of offenders.

1. Doesn't have to be "formal" counseling - can be in form of bit of advice from friend.

2. Helps to discover causes of individual maladjustment.

3. Must be done gently with some individuals, stronger with others.

4. Cannot counsel satisfactorily without rather thorough knowledge of counselee.

B. Counseling is not primary job of correctional officers and correctional matrons, but many opportunities arise for them to counsel.

C. Think not of "counseling" but of helping the offender.

This is the last in the series of training sessions for this year and I know some of you will be glad to find that plans are being made to continue training this coming year.

We feel that a great deal has been accomplished during this past eleven months. I personally, can see that some of you have shown concern about yourself and your job. This makes me feel really good that we have excited you enough to make you stop and think.

That is one reason why we have chosen Counseling as the last topic to present. You have been instructed about the individual and what makes him tick. Now, how do we go about securing information to him on how he should assume his responsibilities. Let's take a closer look at, counseling and counseling techniques.

Why do we counsel? What is the purpose of counseling? Counseling provides a relationship in which a person can assist someone in:

1. Evaluating himself and his opportunities
2. To choose a feasible course of action
3. To accept responsibility for his choice
4. To initiate a course of action in line with his choice

Counseling is a relationship. Not only is it a relationship, but a confidential relationship. It provides a relationship

in which the counselee can explore the choice and its consequences. The counselor's role is one of providing stimuli which assist the counselee to make a feasible choice response. In order to help an individual make feasible choices, the counselor must examine the counselee and his environment. It should be noted that the counselor limits his activities to stimulating a feasible choice. He does not strive for a "good" or "desirable" choice because if he were to do this, he would place himself in a position of having to make a judgment on the basis of his own values.

TYPES OF COUNSELING

A. Counselor -Centered Counseling (Directive)

1. Steps to follow.

   a. Analysis -Collect data about the counselee and his environment.

   b. Synthesis - Interrelate this collected data.

   c. Prognosis - Prediction of what will be the outcome of certain action by the counselee.

   d. Treatment - Counseling, is charted in view of the prognosis and designed to bring the counselee to a position judged to be satisfactory.

   e. Follow-up - Check on the satisfactoriness of the counselee's postcounseling adjustment.

B. Client -Centered Counseling (Non-Directive)

1. Steps to follow.

   a. Acceptance - The counselor accepts what the counselee has to say, without passing judgment.

   b. Reflection - The counselor restates the feelings expressed by the counselee. At times he is able to reflect attitudes and emotions which, although not expressly verbalized, are implied by the counselee.

   c. Clarification - By restating the feelings, emotions, and attitudes of the counselee, the counselor helps him understand, see or clarify his feelings and attitudes.

2. There are five stages of non-directive (client-centered counseling.

   a. The client comes for help.

   b. He expresses emotionalized attitudes freely.

   c. This leads to the development of insights.

   d. These result in positive planning and actions.

   e. The client terminates the contacts.

C. Eclectic Counseling

1. The essential characteristics of this style of counseling is that it attempts to select the counseling method in accordance with the indications and contra-indications of successfully assisting the counselee in dealing with the choice he faces. The counselor could try anything from complete silence on his part to limiting the counseling to a series of suggestions made on the basis of his knowledge of the client. The eclectic counselor selects his techniques on the basis of their predicted effect on the counselee.

	Eclectic	Client-centered	Counselor-centered
How much responsibility does the counselor take for evaluating the feasibility of the counselee's decisions?	Varies according to the needs of the counselee	Avoids this responsibility	Accepts this responsibility, informs counselee when he believes decision is not feasible.
How much responsibility is placed on the counselee for directing the course of the counseling interview?			
What importance is attached to making a diagnosis of counselee's problem?			
What use is made of psychological tests and other analytical devises?			
How does counselor perceive his role in making suggestions to the counselee?			
What is the relative flexibility of the counselor in the use of various techniques in counseling?			
How much emphasis is given to acceptance of the counselee by the counselor?			

Movie: "Under Pressure"

This movie depicts pressures of everyday life and gives an individual information through which he may be empathetic.

TECHNIQUES TO USE IN COUNSELING

1. During a counseling session, try to observe the total person and do a little "inferential reading" of what you observe.

2. Try to look with the person at his problem rather than at him. Fixing a steady gaze on him is not conducive to good rapport.

3. Use a meandering, "off-focus" approach to the actual problem. Sometimes it takes two or three interviews before you are ready to look at the main problem.

4. Encourage a long-range point of view whenever possible, for you will find people will often let immediate circumstances becloud the ultimate outcome.

5. Try to give the person feelings of courage, cooperation, adequacy, and understanding of self and others; and alleviate feelings of fear, hostility, helplessness and alienation from self and others.

6. You cannot work miracles. Sometimes all you can do is give a little comfort, but do what you can.

7. Try to remember that there are no "cut-and-dried" answers to this business of human relations.

COUNSELING INVOLVES:

1. Discovering the causes of individual maladjustments.

2. Apply psychiatric techniques with offenders towards effecting improved behavior.

3. Offering guidance and support to other people in their management of the offender.

In conclusion, I would like to make some final statements. Remember that people want to be let off easy. It is human nature for a person not to want to be criticized. Get commitment from the counselee and remember that anything that a person is compelled to do usually ends up half completed. In a counseling session, you do reach a point when you can't go on any farther. Finally, remember everyone has problems and everyone needs someone to discuss these problems with. Many use their wives, others have friends; but watch out for the person who has no one.

Questions, comments or conclusions?

Presentation of Certificates

August 1969

Correctional Officers and Treatment Staff

Brett Scott

"Individual Counseling"

Legend: E - excellent G - good S - satisfactory F - fair P - poor

I. Instruction	E	G	S	F	P
1. Do you feel the instructor was qualified to present the program?	27	3	2		
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	28	4			
3. Did the instructor:					
a. Stimulate interest in the subject matter?	29	2	1		
b. Show mastery of the subject matter?	25	6	1		
c. Present material in a clear and logical manner?	30	2			
d. Welcome questions?	31	1			
e. Answer questions adequately?	32				
f. Teach above participant's level?	30	2			
g. Make the participant feel at ease?	27	4	1		
h. Speak clearly and distinctly?	26	6			
i. Attempt to cover too much material in the time available?	25	7			
4. Was the video equipment used in his presentation effective?	29	3			

5. Are the following arrangements for the course satisfactory?

	E	G	S	F	P
a. time of day	26		6		
b. day of week	25	1	6		
c. room (overnight accomodations)	26		6		
d. classrooms	25	2	5		

Comments:

--State Park System can't be beat.

6. Generally, what is your evaluation of the course Instruction?

--No Comment

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	26	6			
2. Are the topics sufficiently stimulating to inspire further research into the subject?	26	4	2		
3. In your opinion was the course content broad enough (covered enough material)?	25	5	2		

4. Are there any subjects you wish to recommend for future curriculum building?

--Handling of Guns - Firing
--Searches, Arrest, Seizures

5. Are there any specific instructors you wish to recommend for future consideration?

--Anybody from FBI
--Past Instructors have been good

III. Facilities

1. Were the training facilities adequate?

	E	G	S	F	P
a. lighting	29	3			
b. space	29	3			

2. Do you have any suggestions in regard to facilities for future training sessions?

--Keep them where they are

IV. Your constructive criticism is appreciated.

--Keep up the good work

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Individual and Group Counseling

Natural Bridge State Park
Bulter State Park
Kenlake Resort

October 1968

Instructor - Brett D. Scott

Group - Probation and Parole Officers

VITA

NAME: Brett D. Scott

DEPARTMENT: School of Law Enforcement
Eastern Kentucky University

RANK: Assistant Professor and Director of Corrections Project

DEGREES EARNED: Pikeville College BS 1959
University of Louisville MED 1967

NUMBER OF YEARS TEACHING EXPERIENCE: 7

NUMBER OF YEARS EXPERIENCE IN CORRECTIONS: 3

RESEARCH EXPERIENCE: Demographic study of Correctional personnel in Kentucky

Refer to page 290 for the Presentation

PROBATION AND PAROLE
BRETT SCOTT
NATURAL BRIDGE
BULTER STATE PARK
KENLAKE RESORT
OCTOBER 1968

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Do you feel the instructor was qualified to present the program?	12	14	5	1	
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	8	17	7		
3. Did the instructor:					
a. Stimulate interest in the subject matter?	7	14	9	2	
b. Show mastery of the subject matter?	4	18	7	3	
c. Present material in a clear and logical manner?	9	16	5	2	
d. Welcome questions?	19	8	5		
e. Answer questions adequately?	7	15	9	1	
f. Teach above participant's level?	5	12	12	3	
g. Make the participant feel at ease?	14	13	4	1	
h. Speak clearly and distinctly?	13	12	7		
i. Attempt to cover too much material in the time available?	9	10	9	4	
4. Was the video equipment used in his presentation effective?	13	9	4	4	2
5. Are the following arrangements for the course satisfactory?					
a. time of day	22	6	3	1	
b. day of week	21	4	5	1	1
c. room (accomodations)	23	2	6	1	
d. classrooms	15	10	6		1

Comments:

--No Comment

6. Generally, what is your evaluation of the course Instruction?

--Well presented.
--Satisfactory
--Subject material is very educational.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	13	13	4	2	
2. Are the topics sufficiently stimulating to inspire further research into the subject?	7	18	5	2	
3. In your opinion was the course content broad enough (covered enough material)?	7	17	8		

4. Are there any subjects you wish to recommend for future curriculum building?

--No Comment

5. Are there any specific instructors you wish to recommend for future consideration?

--No Comment

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	16	11	5		
b. space	17	11	4		

2. Do you have any suggestions in regard to facilities for future training sessions?

--More comfortable seating.

IV. Your constructive criticism is appreciated.

--No Comment

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Human Behavior

Barkley House
Gabe's Tower
Downtowner Motor Hotel

February 1969

Instructor - Robert Walker
Group - Probation and Parole Officers

VITA

NAME: Dr. Robert N. Walker

Lieutenant Colonel, World War II...5 1/2 years worked primarily in Army hospitals.

DEGREES EARNED: University of Virginia BS 1933
University of Virginia Ph.D. 1939 Educational Psychology

MEMBER OF: American Psychological Association
American Sociological Association
National Educational Association
Kentucky Education Association
Kentucky Psychological Association

CONSULTANT: Federal Bureau Investigation Academy

RESEARCH: Role Perception of the Police Officer

HUMAN BEHAVIOR

A. Alcoholism

1. Alcoholics Anonymous and the probationer.

B. Mental Deficiency

1. Approach varies with the degree of the impariment.

C. Emotional instability

1. The offender's family and its effect on his mental state.

D. Narcotic addiction

1. Referral services - Films on handling of individuals with personality deviations.

Refer to page 125 for the Presentation

PROBATION AND PAROLE
FEBRUARY 1969
BARKLEY HOUSE
GABE'S TOWER
DOWNTOWNER MOTOR HOTEL
DR. ROBERT N. WALKER

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Do you feel the instructor was qualified to present the program?	33	22			
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	30	21	4		
3. Did the instructor:					
a. Stimulate interest in the subject matter?	24	27	3	1	
b. Show mastery of the subject matter?	27	22	6		
c. Present material in a clear and logical manner?	21	28	6		
d. Welcome questions?	38	12	4	1	
e. Answer questions adequately?	31	16	7	1	
f. Teach above participant's level?	24	22	8	1	
g. Make the participant feel at ease?	34	21			
h. Speak clearly and distinctly?	39	14	2		
i. Attempt to cover too much material in the time available?	22	20	10	3	
4. Was the video equipment used in his presentation effective?	31	16	5	3	
5. Are the following arrangements for the course satisfactory?					
a. time of day	33	17	3	2	
b. day of week	31	15	4	3	2
c. room (overnight accomodations)	25	10	4	8	8
d. classrooms	27	18	7	3	

Comments:

--Parking is not good at all.
--The restuarant was not adequate.

6. Generally, what is your evaluation of the course Instruction?

--Exceptionally good.
--Good.

II. Curriculum

	E	G	S	F	P
1. Do you feel that the subjects being taught are pertinent to your work?	23	27	4	1	
2. Are the topics sufficiently stimulating to inspire further research into the subject?	20	25	6	4	
3. In your opinion was the course content broad enough (covered enough material)?	12	28	12	2	1

4. Are there any subjects you wish to recommend for future curriculum building?

--Motivation and Behavioral Change Implementation in 18-21 age group.
--Counseling Techniques
--Lecture on use of drugs and drug addiction.
--Public Relations
--Sociology and Psychology
--Close Supervision
--Pre-parole

5. Are there any specific instructors you wish to recommend for future consideration?

--Vincent O'Leary
--Robert Walker

III. Facilities

	E	G	S	F	P
1. Were the training facilities adequate?					
a. lighting	31	20	4		
b. space	26	23	6		

2. Do you have any suggestions in regard to facilities for future training sessions?

--Smoking accomodations
--Louisville is a more central location
--Mammoth Park would be better.
--The sessions at EKU were above and beyond everyone's expectations.
--Nothing wrong with way it is being done at present.
--General Butler State Park is hard to beat.

IV. Your constructive criticism is appreciated.

--Subject material covered formative age; stopping short of age group supervised on probation and parole caseload.
--Increase expense account for meeting to adequately cover the higher prices encountered in attending these meetings.
--I feel that subject matter and instructors are inspiring and aid greatly in helping us in problems that we confront in our work.
--Video could have been on 18-19 year olds.
--Our programs on in-service training have been very good. The individuals teaching the courses are the ones who make a good or bad program.
--I feel that this instructor is one of the best that we have had. Good job.

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

presents a
Quarterly Conference
on
Public Relations

Dupont Lodge
Albert Pick Motel
Kentucky Dam Village

April 1969

Instructors - Bill Hickey and Mel Borland

Group - Probation and Parole Officers

VITA

NAME: W. F. Hickey

POSITION: Public Relations Manager
Executive Department

EXPERIENCE: Manager of Directories
Sales Leader of Installations
Manager of various Central Offices
34 years service with South Central Bell Telephone Company.

NAME: M. B. Borland

POSITION: Public Relations Supervisor
Executive Department
South Central Bell Telephone Company
Louisville, Kentucky

EXPERIENCE: Various positions in Public Relations and the Communications Departments.
34 years service with South Central Bell Telephone Company.

Refer to page 4 for the Presentation

METHODS OF ESTABLISHING COMMUNICATIONS-PUBLIC RELATIONS

A. The importance of good public relations in a community.

1. Building an image.

2. Establishing rapport

3. The art of communicating effectively.

a. Think of the other persons before you speak.

b. Choosing words carefully so you get the point across but do not offend.

B. Public speaking as a part of public relations.

1. Making convincing speeches.

2. Understanding your audience and establishing rapport.

C. The results of a food public relations

1. Better understanding of corrections by the public.

2. Acceptance of the corrections program.

PROBATION AND PAROLE
APRIL 1969
BILL HICKEY AND MEL BORLAND
DUPONT LODGE
ALBERT PICK MOTEL
KENTUCKY DAM VILLAGE

Legend: E - excellent G - good S - satisfactory F - fair P - poor

	E	G	S	F	P
I. Instruction					
1. Do you feel the instructor was qualified to present the program?	17	19	5		
2. Do you think the instructor is aware of the latest trends in the subject he is teaching?	19	14	2	6	
3. Did the instructor:					
a. Stimulate interest in the subject matter?	17	15	3	6	
b. Show mastery of the subject matter?	14	17	4	6	
c. Present material in a clear and logical manner?	17	17	5	2	
d. Welcome questions?	26	11	3	1	
e. Answer questions adequately?	15	21	4		1
f. Teach above participant's level?	11	22	6	2	
g. Make the participant feel at ease?	21	18	1	1	
h. Speak clearly and distinctly?	21	15	2	1	2
i. Attempt to cover too much material in the time available?	12	20	8	1	
4. Was the video equipment used in his presentation effective?	15	12	9	4	1
5. Are the following arrangements for the course satisfactory?					
a. time of day	26	14	1		
b. day of week	21	18	2		
c. room (overnight accomodations)	19	14	6	2	
d. classrooms	20	18	3		

Comments:

--Very informative
--Very good

6. Generally, what is your evaluation of the course Instruction?

--Well prepared and given in an understanding manner.
--Well presented
--Very good.

II. Curriculum

E	G	S	F	P
19	13	8	1	
12	17	7	2	3
8	18	11	4	

1. Do you feel that the subjects being taught are pertinent to your work?

2. Are the topics sufficiently stimulating to inspire further research into the subject?

3. In your opinion was the course content broad enough (covered enough material)?

4. Are there any subjects you wish to recommend for future curriculum building?

--Drug Use and Effects
--Court Procedure, Communications, Investigations
--Abnormal Personalities
--Aspects of Law
--Public Relations
--Law
--Use of actual cases if possible.

5. Are there any specific instructors you wish to recommend for future consideration?

--Vincent O'Leary
--Brett Scott
--Parker Hurley
--Burnett Napier

III. Facilities

E	G	S	F	P
22	13	6		
23	11	6	1	

1. Were the training facilities adequate?

a. lighting

b. space

2. Do you have any suggestions in regard to facilities for future training sessions?

--Men experienced in field of corrections
--As far as I am concerned, our facilities have been beautiful as well as comfortable.
--Should be in central location - Lexington, Louisville or Covington
--Good

IV. Your constructive criticism is appreciated.

--Would like to have a circuit court judge to attend and discuss some problems on subject.
--Would recommend that an attempt be made to get members of the circuit courts to attend some of these meetings.
--Thank you.
--I enjoy the sessions very much. It enables me to meet and get better acquainted with the people I contact from time to time.
--One of the better meetings.
--I felt the main speaker from South Central Bell Company Co. covered his material well. I would like to see large companies in Kentucky follow the plans of South Central Bell in teaching those less fortunate than some, to learn a trade and follow-up by hiring those who have records. I find entirely too many employees still refuse to even consider people with records for employment.

EASTERN KENTUCKY UNIVERSITY
SCHOOL OF LAW ENFORCEMENT

In cooperation with the
Kentucky State Department of Corrections

Presents a
Conference
on
Community Resources

Eastern Kentucky University

July 1969

Instructors: Eastern Kentucky University and
State of Kentucky Personnel

Group: Probation and Parole Officers

1969 ANNUAL PROBATION AND PAROLE CONFERENCE

MONDAY

8:30 - 8:45 A.M. ..... Dr. Robert R. Martin, President
Eastern Kentucky University

8:45 - 9:00 A.M. ..... Dr. John D. Rowlett, Dean
College of Applied Arts and
Technology

9:00 - 9:15 A.M. ..... J. C. Taylor, Commissioner
Department of Corrections

9:15 - 10:15 A.M. ..... W. Parker Hurley, Director
Div. of Probation and Parole

10:15 - 10:45 A.M. ..... Break

10:45 - 12:00 Noon ..... Mr. Robert W. Posey-Director
School of Law Enforcement

12:00 - 1:00 P.M. ..... Lunch

1:00 - 2:15 P.M. ..... Robert C. Stone, Executive Director
Kentucky Law Enforcement Council

2:15 - 2:30 P.M. ..... Break

2:30 - 4:30 P.M. ..... Leslie Leach, Traffic Safety Institute
John H. Holman, "Breathalyzer"

TUESDAY

8:30 - 10:15 A.M. ..... Department of Economic Security
Public Assistance
Employment Security

10:15 - 10:30 A.M. ..... Break

10:30 - 12:00 Noon ..... Department of Economic Security

12:00 - 1:00 P.M. ..... Lunch

1:00 - 2:45 P.M. ..... Department of Economic Security

2:45 - 3:00 P.M. ..... Break

3:00 - 4:30 P.M. ..... Department of Economic Security

WEDNESDAY

8:30 - 10:15 A.M.	Dismas House
10:15 - 10:30 A.M.	Break
10:30 - 12:00 Noon	Paul's Workshop
12:00 - 1:00 P.M.	Lunch
1:00 - 2:30 P.M.	Department of Child Welfare
2:30 - 2:45 P.M.	Break
2:45 - 4:30 P.M.	Department of Child Welfare

THURDAY

8:30 - 10:15 A.M.	Department of Mental Health
10:15 - 10:30 A.M.	Break
10:30 - 12:00 Noon	Department of Mental Health
12:00 - 1:00 P.M.	Lunch
1:00 - 2:45 P.M.	Department of Mental Health
2:45 - 3:00 P.M.	Break
3:00 - 4:30 P.M.	Department of Mental Health

FRIDAY

8:30 - 10:15 A.M.	Job Corps
10:15 - 10:30 A.M.	Break
10:30 - 12:00 Noon	Job Corps
12:00 - 1:00 P.M.	Lunch
1:00 - 2:45 P.M.	Salvation Army
2:45 - 3:00 P.M.	Break
3:00 - 4:30 P.M.	Jobs Now
6:00 P.M.	Banquet ..... Presentation of Certificates

SATURDAY

8:30 A.M.	Summation and Evaluation

INTRODUCTION. The one-week intensified training program on Community Resources was opened by Brett Scott, Eastern Kentucky University, Corrections Project Director, who gave his own personal greetings. The project director introduced Eastern Kentucky University's President Dr. Robert R. Martin, who welcomed the corrections personnel and spoke in regard to Eastern Kentucky University's commitment to Law Enforcement and Corrections.

Dr. John Rowlett, Vice President of the Department of Research and Development and former Dean of the College of Applied Arts and Technology, greeted the personnel and elaborated on how the Kentucky Department of Corrections and Eastern Kentucky University had formed an alliance to coordinate a program that would improve the quality of correctional personnel in Kentucky.

Commissioner J. C. Taylor, in turn, gave introductory remarks emphasizing the commitment of the Department to the program and, in his judgment, the benefits received by the employees. He spoke of his experience with the Federal Bureau of Prisons, relative to the lack of this type of in-service training program and expressed his appreciation to the Eastern Kentucky University Staff for its contribution to this vitally needed program.

Mr. W. Parker Hurley, Director of the Division of Probation and

Parole, concluded the opening remarks by expressing his personal commitment to the training program and his gratitude to those involved in the professional development of the personnel.

SCHOOL OF LAW ENFORCEMENT. Mr. Robert W. Posey discussed the development of the School of Law Enforcement and expressed the school's philosophy, objectives and commitments to the area of criminal justice. He presented the academic curriculum relating to corrections personnel and explained how the conference participants could become involved in an academic program. Grants and loans have been secured to assist students in the completion of an Associate of Arts Degree (2 year program) or Baccalaureate Degree.

Mr. Posey concluded by outlining future plans for further development of the School of Law Enforcement. He presented the group with a list of classes on and off campus.

KENTUCKY LAW ENFORCEMENT COUNCIL. Mr. Robert Clark Stone, Executive Director of the Kentucky Law Enforcement Council spoke to the Probation and Parole officers in relation to in-service training and regulations for Kentucky Peace Officers. By Kentucky Statute, all adult probation and parole officers are peace officers. Therefore, the regulations set forth by the Council become very important to this group.

Mr. Stone explained the purpose for organizing such a council and enumerated the different functions it performed. He discussed the areas which the council felt were pertinent to law enforcement personnel and the rationale supporting these conclusions. A copy of the 140 hour training program was presented to the participants with applications for attendance.

TRAFFIC SAFETY INSTITUTE - BREATHALYZER. Mr. Leslie Leach, Director of the Traffic Safety Institute concluded the day's session by explaining the purpose behind the formation of this program. He mentioned the programs that the Traffic Safety Institute made available to the high schools and communities about Kentucky.

The Kentucky Legislature passed an "Implied Consent", law that went into effect June, 1968. As a result of this legislation, a Breathalyzer course was developed to teach people to operate and determine the level of intoxication of a person.

Data collected by the Kentucky Department of Corrections revealed that alcohol was a major factor in the revocation of parole or probation. It was felt that the probation and parole officers would benefit from a seminar on the Breathalyzer.

Mr. Jack Holman, instructor in the breathalyzer course, explained its operation. A map of Kentucky, noting the location

of each breathalyzer, was given to each participant. While Mr. Holman made his presentation, an actual laboratory experiment took place. Four of the participants drank during the presentation and, at the conclusion of the program, were subjected to the machine.

This experiment not only familiarized the student with the breathalyzers but allowed him to observe the machine measuring a person under the influence of alcohol.

DEPARTMENT OF ECONOMIC SECURITY. All inmates, released on parole from the Kentucky institutions, must have employment prior to their release. The immediate families of these inmates need financial support during his incarceration. These two area's allow the Department of Economic Security to play a major role in the offender's life and as a result this department serves as the main resource in supplying information and assistance in the aforementioned areas.

Mr. Harry C. Reagan, trainer, for the Division of Employment Services informed the participants as to how the division operated. He gave information on what type of labor was in demand. Mr. Reagan also supplied the officers with a directory of personnel in charge of employment, their addresses and telephone numbers.

The area of public assistance was covered by Mrs. Patricia Miller, trainer in Lexington, Kentucky training center.

Mrs. Miller gave an overview of the public assistance programs in the United States and compared Kentucky's situation, nationally. Mrs. Miller emphasized the importance of family cohesiveness even when one member is incarcerated. She gave a profile of a typical recipient of public assistance and supplied the students with a directory of local resources.

DISMAS HOUSE. Mr. E. J. Heline, President of Dismas House of Louisville, Incorporated, gave an account of this community based program. This particular half-way house was founded in 1964 for the purpose of providing a temporary home for parolees.

Mr. Heline gave a history of the physical plant and how it was constructed. He presented data as to how many had entered the facility, the length of stay and number of revocations.

Mr. Heline outlined the admissions procedure and encouraged the participants to utilize the facilities.

PAUL'S WORKSHOP. Paul's Workshop, another community based program, is primarily designed for Crime prevention rather than after-care. Mr. T. E. Ford, a retired businessman and director of the program, explained how the organization was founded and operated.

It originated as a result of a man being inspired by his minister to help people in the community who were in need. Invariably, the delinquency problem originated in these needy families. By helping these families economically, developing programs in the community for the youth and publishing the results, delinquency was reduced.

DEPARTMENT OF CHILD WELFARE: The representatives of the Department of Child Welfare were Bill Ryan, Director of Community Services and Jack Tracy, Director of Institutions.

Mr. Ryan discussed the operations of the Department and the services rendered by the personnel to the community. He elaborated on the caseload and its cost to the Commonwealth of Kentucky. Mr. Ryan supplied the officers with a directory of all the personnel in the respective communities.

Mr. Jack Tracy discussed the institutions that the Department of Child Welfare maintained. Each was discussed as to its capacity, type of clientele and admissions procedures. A map showing where each institution was located was supplied to the participants.

The two instructors also discussed the handling of the juvenile from the time of conviction to his incarceration or his release from supervision.

DEPARTMENT OF MENTAL HEALTH. Dr. James Bland, Deputy Commissioner, discussed the general operations of the Department of Mental Health. He explained the community based program or regional centers where most of the work was accomplished.

Mrs. Betsy Davenport, the Attorney for the department, discussed the legislation and statutes giving the peace officer the right to commit a person whom he believes incompetent.

Mrs. Margaret Long presented the problem of alcohol that confronts Kentucky. Films and statistics pertinent to the Commonwealth were given.

Dr. Edgar Moles, Chief Psychiatrist concluded the days presentation by discussing drugs and the problems faced by the community.

JOB CORPS. Kentucky has been blessed with several Job Corps centers. This resource has been used as a referral agency for youthful offenders.

The instructors, Mr. Kenneth Forester and Mr. Robert McCarthy gave a history of the Job Corps and the reasons supporting the agency. The history of the Pine Knot Center in McCreary County, Kentucky was also outlined. The many training areas avail-

able to the youth through Job Corps, the treatment services plus the wholesome and democratic approach in the development of the individual were presented. The presentation concluded with a panel discussion composed of three Corpsmen. They talked about their past and their associations with police, courts and probation officers. Their candid comments made this presentation one of the most informative and effective of the entire week.

SALVATION ARMY. Captain David Stokes, Welfare Secretary of the Louisville Chapter, presented the history of the Salvation Army. He outlined the services and eligibility requirements of the chapters in Kentucky. A directory was presented to the officers for referral purposes.

JOBS NOW, INC. The instructors for this topic were Mr. Victor L. Priebe and Mr. Lewis Alexander. The purpose of this organization is to serve as a job source for the unemployed hard-core people. In addition to finding employment, the Jobs Now personnel serve as counselors, assisting the client in the solution of his problems. They accompany the applicant the first few days and act as a liaison for him.

This personal relationship serves as a reinforcer to the employee who has had poor working habits in the past.

Accomplishments

1. The program, a first attempt at an organized and systematic in-service training program was successful as evidenced by the evaluation conducted.
2. Very few deviations were necessary in the original plan. An occasional change of date to accommodate instructors or the institution's operational schedule was made.
3. A total of 329 participants from a population of 531, attended over 80% of the training sessions and received certificates.
4. Seventy-two (72) individuals participated in the probation and parole summer conference. Forty-two (42) of these applied to an Associate of Arts degree program in Corrections.
5. The presentations of the instructors in the field of behavioral sciences dealt with the cause and effect of crime. They attempted to provoke empathy in the treatment staff and correctional officer.
6. Through intensive exposure to topics such as 1) the prison personality, 2) aggression and violence, 3) the prison social structure, 4) human relations, 5) behavior modification, 6) theories of crime and its causes, and 7) counseling and its effectiveness, the correctional officer

and treatment staff should have become more cognizant of their role as a rehabilitation agent.

7. It is believed that the qualifications of corrections employee were upgraded by exposure to a well-planned curriculum and selection of high caliber instructors for the training sessions. Presentations utilizing audio-visual resources to make the program more effective had a decided effect upon the participant. Their personal evaluation is included in this document.

Evaluation or Findings of Two-Year Project.

1. A total of nine questionnaires were sent to top management personnel to record their evaluation of the training program. Seven (78%) were returned. Of the seven, six (6) (88%) indiciated that a program to upgrade the qualifications of corrections personnel in the program had been presented.
2. Seven (100%) noted that the employees had been motivated to seek further training.
3. Of the respondents, six (88%) indicated that the employee was more aware of the offender as a candidate for rehabilitation as a result of the training.
4. Five (70%) believed that enough time was allotted to the

behavioral sciences. On the other hand, two (30%) felt sessions were brief, groups too large and that there was not enough follow-up planned.

5. All respondents felt that the public image was important and that insufficient emphasis was being directed toward improvement in this area.
6. All respondents agreed that continued planning and implementation was a necessity in order to improve corrections personnel at all levels.

Recommendations for Future In-Service Training Programs Based on the Two-Year Project.

1. The institutional personnel have expressed a desire to change the location of training facilities. It is recommended that finances, transportation and workload be studied to determine the feasibility of changing training sites.
2. Groups of seventy (70) to ninety (90) participants have taken part in each session presented at LaGrange Reformatory and at Eddyville Penitentiary. It is believed that more could be gained if trainees were divided into smaller groups.
3. Many participants expressed a desire to further their

academic preparation. It is suggested that the administration explore the possibility of having extension classes made available to them.

4. Merit pay and promotion should be made available as incentives for those who personally made attempts to improve themselves.
5. A public relations program or a full-time public relations position should be established to promote corrections.
6. Evaluations distrubuted to participants revealed training needed and possible instructors to be considered for future programs. This data were used in the development of the following suggested training program:

Top Management

1. Group Dynamics
2. Contemporary Issues and Their Relevance to Prison Administration
3. International Studies in Prison Structure with Comparative Research Regarding Penal Systems of Other Nations
4. Analytical Studies of Recidivism

Mid-Management

Since the jobs are closely related to those of management, it is suggested that the training topics be the same as those

for Top Management. However, instructions for this group will be modified to place emphases on topics as they relate to mid-management functions.

Treatment Staff

1. Analytical Study of Recidivism
2. History of Kentucky Prisons
3. Communications in Interviewing
4. Philosophy of the Treatment Program
5. Innovative Programs
6. Nedessity of Documentation - Report Writing
7. Contemporary Issues and Their Relevance to the Prison Setting
8. Decision Making - Creative Thinking
9. Racial and Cultural Minorities in the Prison Setting
10. Prison Social Structure
11. Drugs and Drug Abuse
12. Handling Mentally Distured Persons

Correctional Officers and Matrons

1. Custody - Everybody's Business
2. History of Kentucky Corrections
3. Prison Recreation - A Necessity
4. They all Came Back (Recidivism)

5. The Other Side (A Prisoner's View)
6. Drugs and Drug Abuse
7. Control of Crowds and Mobs
8. Handling the Mentally Disturbed Offender
9. Minority and Ethnic Groups
10. Decision Making - Creative Thinking
11. Homosexuality in Prisons
12. Behavior Control Operant Conditioning

Probation and Parole Officer

1. Searches and Shakedowns
2. Behavior Modifications
3. Handling Firearms
4. Case Preparation