

**STANDARDS  
for  
Adult Probation and  
Parole Field Services**

**Second Edition  
March 1981**

**AMERICAN CORRECTIONAL ASSOCIATION**

**In cooperation with the  
COMMISSION ON ACCREDITATION  
FOR CORRECTIONS**

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This publication may be ordered from:

American Correctional Association  
4321 Hartwick Road, Suite L-208  
College Park, Maryland 20740  
(301) 699-7600

Information on accreditation can be obtained from:

Commission on Accreditation for Corrections  
6110 Executive Boulevard, Suite 600  
Rockville, Maryland 20852

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## AMERICAN CORRECTIONAL ASSOCIATION

Amos E. Reed  
*President*

Anthony P. Trivisono  
*Executive Director*

Samuel Sublett, Jr.  
*Chairman, Committee on Standards*



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**Percentages and Totals of Weights  
(Mandatory, Essential, Important)**

CATEGORY	NUMBER	PERCENT
Mandatory	1	0.5
Essential	160	76.9
Important	<u>47</u>	<u>22.6</u>
Total	208	100.0

**Mandatory Standards and Numbers**

(1) Training and Staff Development: 2-3071

**Foreword**

In the foreword for the first edition of this manual it was noted that probation and parole services were being criticized for their apparent ineffectiveness. Now, three years later, it is still pertinent to note the fact of these criticisms, but the constructive and spirited responses to these criticisms which have appeared have been heartening. These responses have not just been an instinctive defense of an old friend among our correctional programs. Parole services in particular have undergone some close reexamination regarding their place in the correctional process, and a substantial effort has been made to make improvements where the critics have convincingly pointed to defects.

It is to the credit of professionals in corrections that they have responded to criticism with discriminating objectivity and have been able to take positive steps toward constructive change. In this general context of critical reappraisal the American Correctional Association and the Commission on Accreditation for Corrections have noted the experience with the probation and parole standards and have worked to revise them with careful concern for the best practices of each respective service. Whatever the findings may be in the research on program effectiveness, the public is entitled to the best protection it can obtain, the most efficient management of its correctional services, and a dependable level of accountability from correctional management. The Association and the Commission have the responsibility through constant refinement of standards, to help define and ensure a high level of management quality.

Through the conscientious work of thoughtful professionals in probation and parole, the standards was reviewed and revised to define the best modern concepts. The labor of accomplishing this was made easier and more rewarding by the growing enthusiasm with which the accreditation process has been accepted by the whole corrections field. Standards and accreditation provide the most visible guide and effective encouragement in the growing momentum for change.

The Association and the Commission are truly grateful to the many corrections professionals whose hard work and insight have been brought together in the committee work which produced this new, up-dated edition of standards for probation and parole.

Anthony P. Trivisono  
Executive Director  
American Correctional Association

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Alexandreena D. Dixon, *Associate Director*  
Susan Ainslie Dunn, *Research Associate*  
Beverly B. Davis, *Staff Assistant*  
Gail Ruppe, *Staff Assistant*

### Consultants

Stan Adelman, Massachusetts  
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Robert E. Keldgord, California  
Paul Keve, Virginia  
Scotia B. Knouff, North Carolina

William V. Milliken, Utah  
Barbara O'Brien, New York  
Ernest G. Reimer, California  
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Janet York, Connecticut

### ACA Resource Subcommittee Members

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## Preface

This volume of *Standards for Adult Probation and Parole Field Services* represents a revision of the *Manual of Standards for Adult Probation and Parole Field Services* printed in 1977 by the American Correctional Association and the Commission on Accreditation for Corrections. The original *Manual* was a monumental first for practitioners in the area of field services: they joined with representatives of other correctional disciplines to codify a set of operational standards that could serve as a measure of good practice and facilitate agency accreditation by the Commission on Accreditation for Corrections.

The second edition, *Standards for Adult Probation and Parole Fields Services*, represents a continuation of the American Correctional Association commitment to update and codify the best of correctional practice as a service to its membership. The review and revision process utilized the experience of the Commission with the accreditation process and a distillation of the impact of current legislation and case law.

The burgeoning population of correctional institutions has prompted a reawakening of the common sense value of community-based services as represented by probation and parole. The American Correctional Association has a long established policy of support for sound and effective noninstitutional services. The Association is also committed to the promotion of national standards as a key element in the development of effective programs to serve offenders and the public welfare. The future impact on national policy and practice is an important aspect of standards, and the voluntary accreditation process of the Commission on Accreditation for Corrections is an important utilization of the second edition.

Appreciation is extended to the ACA Committee on Standards for review and comment. The Committee on Standards Resource Subcommittee composed of Charles J. Kehoe, Rudy F. Guillen, Julian Pugh and Samuel Sublett, Jr. did yeoman's work in the review process for this second edition. Special appreciation is accorded to Donald Atkinson, principal consultant, as well as to the other consultants who participated in drafting and field testing the standards during the revision process. An ACA Resource Subcommittee was also convened to advise the consultants as to those revisions which might be most appropriate. The Subcommittee members contributed immeasurably from their extensive experience as successful practitioners.

Special appreciation is also extended to the Commission Resource Team which worked so diligently in their review of the standards. The Resource Team was chaired by Marcella C. Rapp, and composed of Ralph A. Jefferson, Irvin M. Riedman and Joseph R. Rowan. Appreciation is further extended to the full Commission for its review.

A field test of draft revisions was conducted jointly with the Division of Probation and Parole of the Missouri Board of Probation and Parole and the St. Louis County Department of Justice Services. Additional field tests were conducted at the Kanawha County Probation Department, Charleston, West Virginia and with the Division of Adult Parole Services of the Colorado State Board of Parole. The participation and concern expressed by individuals in these agencies provided a significant contribution to the final version of the standards.

A special note of thanks is due Dr. Dale K. Sechrest, Director of the ACA Correctional Standards Program. Dr. Sechrest, who was ably assisted by Alexandreena D. Dixon, Susan A. Dunn and the ACA staff, provided the tremendous effort required for the rewriting of several drafts and the final language and format of the manual.

An equal level of participation was provided by Dr. Robert H. Fosen, Executive Director of the Commission on Accreditation for Corrections and members of his staff. Sharon L. Johnson served as the Commission's primary staff person for the revision effort.

This edition of the standards has been endorsed by the American Probation and Parole Association through its President, John Maloney. Gail D. Hughes, Chief State Supervisor

for the Missouri Division of Probation and Parole was the principal coordinator of this effort, having also participated in the field test of the standards in Missouri.

Finally, the entire effort was made possible by the continued support of Anthony P. Trivisono, Executive Director of the American Correctional Association, and Nick Pappas and staff of the Program Management Team, Office of Criminal Justice Programs of the Law Enforcement Assistance Administration.

Samuel Sublett, Jr.  
Chairman  
ACA Committee on Standards

Robert J. Watson  
Chairman  
Commission on Accreditation  
for Corrections

## Introduction

Probation and parole field services continue to be a vital component of not only the corrections system but also the overall criminal justice system. As noninstitutional measures, probation and parole are generally recognized as alternatives that need to be given even larger and more dynamic roles in a comprehensive response to the national dilemma about crime. Certainly they are seen as part of the solution to the current overcrowding that adversely affects the institutional component of the system. However, the full extent of the use of probation and parole has yet to be determined.

As with any public service, particularly one that faces potential growth, probation and parole have not escaped criticism and controversy. The healthy aspect to the controversy is the resulting array of responses which should lead to better field services based on increased knowledge and understanding. Probation and parole field services, as any component in the corrections continuum, should benefit from a refined definition of purpose.

Recent reappraisals of parole have been so extensive that a few states have made substantial changes in their parole laws, and the general literature has been enlivened with writings which suggest that parole might well have little or no place in future correctional systems.

The healthy quality of the controversy is seen in the reactions: the writings that have come forth to defend or reappraise and explore the values of both probation and parole. Such reactions should lead to the shaping of better services based upon more perceptive understandings. Particularly encouraging is the new appreciation of ways to conduct both probation and parole with a quality of fairness. There is a growing appreciation of the need for a civilized society to apply its standards with dedicated impartiality to all conditions of its citizenry. A characteristic of a mature society is the acceptance of the principle that fairness, even to the least of its members, must be supported as a virtue. Accordingly, an important aspect of probation and parole standards is the enforcement of practices which support current concepts of basic fairness to offenders under supervision.

One effect of argument in behalf of abolishing parole has been to emphasize the sensitive interrelationships that exist within the criminal justice system. Even if an impressive case could be made for the abandonment of the practice of parole supervision, the weight of the argument shifts immediately when consideration is given to the extent of the imbalance this must cause in the total system. Probation and parole exist in a fragile balance with sentencing practices and institutional systems and any restatement of purpose in scope of responsibility must consider the simultaneous compensating adjustments required for the others to maintain the balance.

Probation and parole remain vital elements in the larger system and in fact, their importance seems lately to be emphasized by the crippling overload that has affected the institutional component in the system. Without probation and parole the extent of overcrowding in our correctional institutions would be much worse. Furthermore, the potential capability of probation and parole to serve as effective and sufficient criminal justice sanctions has seldom been realized due to lack of support, resources and sound professional working concepts. The increasing importance of probation and parole to the correctional system requires the determination of proper standards for their design and conduct. The standards will promote additional efforts to create more effective policy and procedures systems which will provide better public protection and improved supervision and guidance to offenders.

This set of standards for probation and parole field services has a close companion in the *Standards for Adult Parole Authorities*, which was recently revised and published as a second edition. Although parole authority functions and parole field services are sufficiently separate to justify separate sets of standards, they must be closely interrelated in practice,

both in their philosophical bases and with respect to practical, coordinated case management.

In this context of need for the coordination of efforts in all areas of corrections and the new emphasis which is most certainly being placed on probation and parole, the need for comprehensive national standards for field service operations are critical.

#### *Revision of the Standards*

The American Correctional Association and the Commission on Accreditation for Corrections originally responded to the need for standards by publishing the *Manual of Standards for Adult Probation and Parole Field Services* in 1977. As with all ten manuals of standards published by the ACA and the Commission, the volume for field services was a product of the experience and expertise of the professionals in the field. This revised edition has the additional advantage of incorporating the experience of using the standards in the accreditation process administered by the Commission.

This second edition, *Standards for Adult Probation and Parole Field Services*, was reviewed by committees of field service practitioners to ensure that the standards continued to reflect current knowledge relative to good practice. Also, before the standards were published, they were field-tested in several probation and parole agencies. Final approval was the result of their review and acceptance by both the American Correctional Association Committee on Standards and the Commission on Accreditation for Corrections. The members of the Commission and the Committee are active professionals who represent a cross section of the field of corrections.

From this process of initial publication, use in the accreditation process, reformulation, professional review and final approval has come a revised set of standards which represent the current consensus of the best probation and parole management practice.

#### *Accreditation*

A probation or parole agency wishing to participate in accreditation must contact the Commission on Accreditation for Corrections in order to formally enter the process. After acceptance for the process by the Commission, the agency completes a self-evaluation to determine compliance with the standards, compiles documentation to support compliance and develops plans of action to correct all deficiencies. After acceptance of the self-evaluation report by the Commission, and as the required compliance levels are attained, the agency can request an audit to verify compliance. This on-site audit is conducted by a team of trained Commission consultants.

The standards allow for the measurement of acceptable performance in achieving objectives. For purposes of their application in the accreditation process, they are minimal requirements and should be exceeded whenever possible. When they are met, it is expected that every effort will be made to maintain performance at the level designated in the standards. Each standard has a weight of mandatory, essential or important, which is used in determining compliance levels for accreditation. Mandatory standards address conditions or situations which could become hazardous to the life, health and safety of offenders, employees and/or the public. Without exception, all mandatory standards must be met for purposes of accreditation. In addition, probation and parole agencies must meet 90 percent of the essential standards and 80 percent of the important standards in this edition, as well as any other criteria stipulated in the policies and procedures of the Commission on Accreditation for Corrections.

Most standards require evidence of written policy and/or procedure in specific areas of operations. Policy and procedure are crucial elements in the effective administration of an agency and are heavily emphasized in this edition and in the accreditation process. Since an understanding of the meaning of these words is necessary to the use of the standards they are fully defined in the glossary and in the following discussion.

A policy is a statement of principles which guides the agency in the attainment of objectives. To comply with a standard which requires a policy for a certain area, there must be not only a written statement of policy, but also evidence that an action or a principle has been adopted and is being followed by the agency.

A procedure is a method of performing an operation or an outline of the sequential actions that must be executed to ensure that a policy is fully implemented. Policy and procedure may both be required by the standard, in which case documentation demonstrating implementation of the procedure would also be necessary.

#### *Conclusion*

The Association and the Commission, in promulgating these standards for probation and parole field service agencies, see them as more than just a tool for accreditation. Generally they represent, as they must, a higher quality of operation than most agencies have maintained; but, they are standards which are attainable. They provide guidelines for self-improvement, stimulus to change, and leverage for improved support from legislative, judicial and executive branches of government. Nevertheless, they will be effective only in relation to an agency's willingness to accept and use the standards to provide change which reflects the best contemporary vision of leaders in the correctional field.

## **ADMINISTRATION, ORGANIZATION AND MANAGEMENT**

**2-3001** The assignment of organizational responsibility for agency field supervision services within the governmental structure is specified by statute or by order of court. (Essential)

**DISCUSSION:** Statutory specification provides unquestionable definition of the role of field supervision services within the governmental structure.

**2-3002** Responsibilities and functions of the field agency are specified by statute or administratively defined by the parent governmental organization. (Essential)

**DISCUSSION:** Probation and parole agencies can best achieve their goals and objectives when responsibilities and functions are articulated either by a parent organization or by statute. Vague definitions of responsibilities and functions hinder both individual and organizational effectiveness, resulting in a loss of understanding and support from criminal justice and other agencies and the general public.

**2-3003** The authority, responsibility and function of the position of administrator of field services, are specified by statute or administratively defined by the parent governmental organization. (Essential)

**DISCUSSION:** To have effective leadership, a clear definition of the authority and responsibilities of the administrator of field services should be maintained. The functions specified by statute should include planning, organizing, staffing, coordinating, directing and controlling the probation/parole services.

**2-3004** The field agency and its programs are managed by a single administrative officer. (Essential)

**DISCUSSION:** Each agency should be headed by a single administrative officer, appointed by and responsible only to the governing authority of the field agency. There should be no employees or units of management within the agency that are not accountable to the administrative officer. When there are persons (usually employees of other public and private agencies) who are providing a service to the agency, written policies and procedures should be developed and reviewed, at least annually, to describe their roles and functions as they relate to the authority and responsibility of the administrator of field services.

**2-3005** There is a written organizational plan and chart reflecting the current structure of authority, responsibility and accountability within the field agency which is reviewed at least annually and updated as needed. (Essential)

**DISCUSSION:** A signed and dated plan of organization and current chart provide the employees with a clear picture of the field agency administration. Names of units and duties should reflect precisely what is entailed. Similar functions should be grouped. Span of control, lines of authority and orderly channels of communication should be noted. Updating should be made as changes occur, and a regular review

ADMINISTRATION, ORGANIZATION AND MANAGEMENT

should be made to be certain that the plan is appropriate for agency functions. An organizational chart also presents an overview of the agency to other private and public organizations.

**2-3006** Written policy and procedure provide for the participation of all employees in staff meetings related to their respective duties. (Essential)

**DISCUSSION:** Staff meetings provide the opportunity for identification and solution of problems and exchange of ideas. Staff input from all levels can be generated for the formulation of policies, procedures and programming. Parole and probation officers, supervisors and unit directors should meet at least weekly in order to coordinate the tasks of planning, organizing, staffing, directing, reporting and budgeting for the agency. Agendas and the minutes of the meeting should be used to introduce or change policy and procedure.

**2-3007** The field agency can document that all levels of staff participate in the development and review of organizational goals, policies, procedures, rules and regulations. (Essential)

**DISCUSSION:** Although the agency administrator has ultimate responsibility for the field agency, staff representing every level and function in the field agency can contribute to a reasoned set of field agency goals, policies, procedures, rules and regulations. Meaningful employee participation in management helps ensure that the attitudes and values of the individual members are in substantial agreement with those of the agency.

**2-3008** The administrator of field services has input into the planning function as it affects the field agency. (Essential)

**DISCUSSION:** The administrator of field services should be able to ensure that the supervision and service needs of the field agency are addressed in the planning functions, although the agency administrator is ultimately responsible for this function.

**2-3009** The administrator of field services is responsible for formulating goals, establishing policies and priorities related to them, and translating the goals into measurable objectives for accomplishment by field staff. (Essential)

**DISCUSSION:** None. (See related standards 2-3008 and 2-3010)

**2-3010** A written statement that describes the philosophy and long-range goals of the field agency is prepared by the agency administrator, reviewed at least annually and updated if needed. (Essential)

**DISCUSSION:** The efforts of probation/parole agencies should not be characterized by situational reactions to crises. Agencies should articulate goals, objectives and policies for at least two years in the future and reassess them periodically. These goals and policies may be developed alone or jointly with the parent agency. The field agency should document practical and specific plans to achieve its long-range goals.

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**2-3011** Written policy provides for collaboration and consultation with other criminal justice agencies, community interest groups and service agencies on a continuing basis by the administrator of field services for the purpose of enhancing the formulation and evaluation of organizational policies, procedures, rules and regulations. (Essential)

**DISCUSSION:** Collaboration with criminal justice and private agency personnel and members of the community is basically the responsibility of the administrator of field services. The process may vary by location. The local manager should have discretion to develop procedures to provide a joint working relationship which will provide better and equitable treatment for the offender. (See related standard 2-3012)

**2-3012** The field agency participates directly, or through the parent agency, in federal, state and regional planning efforts with criminal justice and noncriminal justice agencies. (Essential)

**DISCUSSION:** The field agency should be represented in state planning agencies or regional planning units to ensure that probation/parole has an active voice in setting directions for the future. The field agency should also participate in the planning activities of community coordinating councils and educational, social, religious, charitable and other organizations to facilitate their understanding of probation and parole services. This participation can create greater community support for probation/parole services and conserve community resources.

**2-3013** There is a system to monitor operations and programs through inspections and reviews at least annually by the agency administrator or designated staff. (Essential)

**DISCUSSION:** An audit system providing timely and periodic assessment of various field agency operations will reveal the degree of compliance with policies and procedures. The internal administrative audit exists apart from any external or continuous audit conducted by other agencies.

**2-3014** An agency manual, including policies, procedures, rules and regulations of the field agency is developed and maintained by the agency administrator. The manual is reviewed annually, updated as procedures change and is available to all staff. (Essential)

**DISCUSSION:** The agency should have a single source for its established policies and procedures, which is available to all personnel to ensure consistency in organizational operations. Efficient management of resources and supervision are facilitated when all personnel understand how operations are conducted, and have available to them expectations and definitions of organizational activities and personnel behavior. The manual should be well-organized and include a statement of purpose, table of contents, and an open-ended numbering system.

**2-3015** Legal assistance is available to the field agency for the purposes of formulating field agency policy, advising on individual cases, interpreting case law and representing the field agency, as required, before courts and other appropriate bodies. (Essential)

**DISCUSSION:** Continuing availability of legal counsel ensures that the public, the field agency and the offender are afforded the legal protection to which they are entitled.

**2-3016** The administrator of field services submits a report to the parent agency, at least biennially, that includes objectives, programs, budget, major developments, problems and plans, as well as services furnished to the courts, parole authority and offenders. (Essential)

**DISCUSSION:** The publication of a comprehensive report at least every two years serves several important functions: it helps to inform the general public, elected and appointed officials, criminal justice administrators and others about the agency's programs, services policies and accomplishments; it provides an assessment of past accomplishments and an opportunity to redefine future goals; and it provides a historical perspective depicting development of the agency over a period of years.

**2-3017** Field facilities are located in areas conveniently accessible to offenders' places of residence and employment, to transportation networks and to other community agencies. (Essential)

**DISCUSSION:** Maximum involvement with the community is vital to the success of field supervision programs. The strategic location and appropriate design of facilities maximize staff performance and service delivery.

**2-3018** A written plan requires the systematic review of equipment needs and/or the replacement of equipment as needed. (Essential)

**DISCUSSION:** Inadequate equipment decreases the effectiveness of a probation/parole agency, both in terms of efficiency and the public's view of the agency. All equipment should be maintained in good working order and replaced periodically. More efficient equipment should be acquired when increased efficiency will result. (See related standard 2-3079)

**2-3019** Requests from federal, state and local legislative and executive bodies for information concerning programs and specific cases are responded to promptly and fully by agency staff in accordance with written policy and procedure, and provisions relevant to rights of privacy. (Essential)

**DISCUSSION:** To maintain the integrity and credibility of the field agency with other elements of the governmental structure, full and immediate cooperation should prevail with legislative and executive offices of government.

**2-3020** Written policy and procedure provide for cooperation and/or consultation with colleges and universities in areas of mutual concern. (Important)

**DISCUSSION:** Institutions of higher learning can provide qualified persons to serve as advisors for policies and programs, and to arrange special training conferences and learning seminars. Students can serve both as potential recruits and current manpower. Field agency policy and procedure should provide for designated staff to initiate and maintain liaison with these institutions.

**2-3021** Written policy and procedure provide a public information program that encourages contacts with the public and communication media; the policy and procedure are disseminated to all employees and media representatives. (Essential)

**DISCUSSION:** The agency should seek to inform and educate the public regarding the role of probation and parole in the criminal justice process in an effort to gain cooperation and participation. The agency should direct its activities in this regard not only toward the general public, but also toward labor and management groups, service organizations, allied criminal justice forces, churches, and fraternal and other civic organizations.

The written policy should specify the agency's statutory basis, types of information that can be released, persons authorized to release information, rights of offenders with regard to publicity, and a clear statement of the agency's intent to provide the media with accurate and timely information and to be responsive to requests concerning programs, services and policies.

**2-3022** Written policy and procedure govern the dissemination of case information to the public, and address confidentiality requirements and the designation of who provides such information. (Essential)

**DISCUSSION:** Probation and parole authorities often are requested to provide information about cases under supervision, and it is important that policies exist within the agency to specify who should provide such information and how it should be provided. Procedures regarding the confidentiality of case records should be observed at all times.

**2-3023** There is a written procedure for the investigation of citizen complaints about the field agency. (Essential)

**DISCUSSION:** In order to maintain credibility with the public, the field agency must investigate and respond to complaints registered by citizens. For the protection of the officer, as well as in the public interest, a copy of the complaint, the findings from the investigation, and the action taken should be placed on file. The complainant should be advised of the outcome of the investigation and the response of the agency. (See related standard 2-3163)

**2-3024** When the field agency is designated to operate a pretrial services program, such as offender release on own recognizance (ROR), its authority and responsibility is stated by statute, administrative regulation or order of court. (Essential)

**DISCUSSION:** The authority and responsibility for such programs should be clearly stated to ensure the cooperation and participation of judges, attorneys, law enforcement and correctional officials, community leaders, and the participants, and to facilitate the successful operation of the program.

**2-3025** When pretrial services are administered by the probation agency, a workload formula is used in allocating staff, and space and equipment are provided to service the program. (Essential)

**DISCUSSION:** Provision should be made for effective use of personnel on a full- or part-time basis by using a systems approach to identify pretrial service objectives and by specifying job tasks and the range of personnel necessary to meet the objectives. Similarly, space and equipment needs should be determined. (See related standard 2-3106)

**2-3026** When the agency operates pretrial services, it does so with the cooperation of other criminal justice authorities. (Essential)

DISCUSSION: Successful development and operation of pretrial services, such as release on own recognizance (ROR) programs, is dependent upon the cooperation of judges, attorneys, law enforcement officials, correctional officials and legislative bodies. They should be involved in these programs from initial planning through implementation.

**2-3027** When the agency operates pretrial services, these services are evaluated at least annually. (Important)

DISCUSSION: Staff providing pretrial services should have the opportunity to participate in evaluating these services and programs. The evaluation should assist in determining the extent to which the service has achieved specific objectives. An effort should be made to identify the factors, both individual and social, which have a direct relationship to success in the program.

## PERSONNEL

**2-3028** The agency administrator and/or governing board of the level of government at which the probation/parole services are constituted has the responsibility for appointing the administrator of field services. (Essential)

DISCUSSION: Since the agency administrator and/or governing board of the probation/parole agency's parent governmental organization is responsible for the overall functioning of the correctional agency, that individual or group should select the administrator of probation/parole services.

**2-3029** The qualifications, authority, tenure and responsibilities of the administrator of field services are specified by statute or by the parent governmental organization. (Essential)

DISCUSSION: Explicit definition is necessary to ensure both that minimum standards are met and that opportunities for political interference with administrator appointments are reduced. (See related standard 2-3008)

**2-3030** The educational, operational and administrative qualifications of the administrator of field services are specified in writing by the appointing authority and include, at a minimum, a bachelor's degree, five years of related administrative experience, and demonstrated administrative ability and leadership. (Important)

DISCUSSION: To ensure that only qualified persons are recruited and apply for the position of administrator, the appointing authority should establish high qualifications which are disseminated widely, and recruit and hire on the basis of these qualifications.

**2-3031** The term of office of the administrator of field services is continuous and may be terminated only by the appointing authority for good cause and subsequent to a formal and open hearing on specific charges, if requested. (Essential)

DISCUSSION: Stability of the office of administrator of field services is an important contribution to a high quality operation. Since many of these positions are not covered by civil service provisions, it is necessary that political interference be reduced by such measures as a specified term or protection against removal without cause.

**2-3032** There is a personnel policy manual which covers the following subjects:

- Organization
- Recruitment procedures
- Equal employment opportunity provisions
- Job qualifications, descriptions and responsibilities
- Basis for determining salaries
- Benefits, holidays, leave and work hours
- Personnel records
- Employee evaluation
- In-service training
- Promotion

Retirement, resignation and termination  
Employee-management relations  
Disciplinary procedures  
Grievance procedures  
Insurance and professional liability requirements.

A copy of this manual is available to each employee. (Essential)

**DISCUSSION:** The field agency's personnel policy should reflect its operational philosophy and this should be expressed in writing so that it is available to all employees. At the time of employment, each employee should have the opportunity to review a copy of the agency's personnel policy manual. Employees should be encouraged to ask questions about the policies. Copies of this manual should be available for employee reference.

**2-3033** Written personnel policy and procedure govern the selection, retention and promotion of all personnel. (Essential)

**DISCUSSION:** The selection, retention and promotion of field agency personnel should be based on merit, specified qualifications, and competitive oral and/or written examinations. All job qualifications and hiring policies should be examined with the assistance of equal employment specialists from outside the agency. Employment qualifications should be demonstrably related to the skills required to perform the work. Tests should not be culturally biased. To permit selection from a larger pool of applicants, every effort should be made to remove artificial barriers to employment with the agency.

**2-3034** Written policy and procedure provide for and show evidence of lateral entry as well as promotion from within the agency. (Essential)

**DISCUSSION:** While agency personnel policies should emphasize promotion from within, they should also provide for lateral entry to obtain the best qualified persons to fill positions. Any individual with the required education, experience and background should be eligible to enter the field agency at the level at which the person is qualified. Lateral entry is employment by the agency of candidates from both the private sector and by transfer from other governmental agencies. Lateral entry should include the transfer of retirement credits where statutes permit.

**2-3035** Written policy specifies that equal employment opportunities exist for all positions. (Essential)

**DISCUSSION:** Men and women should have equal opportunities to compete for any position within the field agency. Section 703 of Title VII of the Civil Rights Act details certain exceptions which do not constitute unlawful employment practices. Agencies should continuously evaluate their work environment to provide employment for both men and women.

**2-3036** The field agency has an affirmative action plan and program, which has been approved by the appropriate governmental authority. (Essential)

**DISCUSSION:** An affirmative action program ensures that persons are able to compete equally for entry into and promotion within the agency. This program should

be designed to seek out qualified minority and female personnel and encourage their participation in the staff development program of the field agency.

**2-3037** The field agency can document the implementation of its affirmative action program, and provide evidence of annual reviews and necessary changes required to keep it current. (Essential)

**DISCUSSION:** Personnel records and revised policies and procedures that reflect increases in the hiring and promotion of minority groups and women should be used to demonstrate implementation of the agency's affirmative action plan. At least an annual review of the affirmative action program should be conducted to monitor and promote continued compliance.

**2-3038** Written policy and procedure provide for the employment of qualified ex-offenders. (Important)

**DISCUSSION:** Ex-offenders can be a valuable manpower resource and should not be discriminated against when they seek employment with the field agency. Qualified applicants should have the opportunity to prove that they can be a productive employee.

**2-3039** In accordance with state and federal statutes, a criminal record check is conducted on all new or prospective employees to ascertain whether there may be criminal convictions which would affect job performance. (Essential)

**DISCUSSION:** While policy may permit the hiring of ex-offenders, the administration should always be aware of any such criminal history in order to safeguard the agency's reputation and effectiveness, and to evaluate the effect of the criminal record on the prospective employee's performance.

**2-3040** Written policy and procedure require a physical examination by a physician of any new or prospective employee at the time of initial employment, which is paid for by the field agency. Provisions exist for reexamination according to a defined need or schedule. (Essential)

**DISCUSSION:** Probation and parole can be physically demanding work and all staff members should be physically fit. Physical examinations should be required in order to protect their health, ensure their ability to perform effectively, and to avoid appointments or assignments incompatible with their physical condition. When employment is denied based on the findings of the examination, the physician must provide a statement which explains the relationship of the physical impairment to the work required by the position. Policy should not preclude the hiring of handicapped persons.

**2-3041** An entry level probation or parole officer possesses a minimum of a bachelor's degree. (Important)

**DISCUSSION:** None.

**2-3042** Written policy and procedure provide that new or promoted employees are appointed initially for a probationary term of not less than six months nor more than one year. After completing a probationary period, employees are granted permanent status. (Essential)

PERSONNEL

**DISCUSSION:** Tenure should be dependent upon the successful performance of the duties assigned during the probationary term. Employee performance during the probationary period should be evaluated at least bimonthly, and the employee should be given the opportunity to discuss the evaluation. Forms for evaluation of employee performance should be developed and used. Persons not performing satisfactorily should be returned to their former position. (See related standard 2-3058)

**2-3043** Written policy and procedure provide employees on permanent status the right to request and exhaust grievance and appeals procedures, including an open and formal hearing, prior to their termination or demotion. (Essential)

**DISCUSSION:** Termination or other adverse personnel actions should be open, based on formal hearings and specific charges, and processed before an independent organization to ensure fairness.

**2-3044** Written personnel policy and procedure provide for a career development plan. (Important)

**DISCUSSION:** There is a positive contribution to staff morale as well as a needed enhancement of overall agency operative quality when personnel policies and practices that enable high-potential staff members to gain the necessary qualifications and to feel motivated to move through promotions to higher job levels are maintained. (See related standard 2-3070)

**2-3045** Salary levels and employee benefits for all field agency personnel are competitive with those of other components of the criminal justice system as well as with comparable occupational groups. (Essential)

**DISCUSSION:** Competitive salaries and benefits are necessary to recruit and retain high caliber staff. The salary ranges should provide for regular increases based on merit and should be adjusted annually to reflect changes in the cost of living. To encourage mobility and the exchange of personnel among elements of the criminal justice system, efforts should be supported that would permit employee benefits to accompany the employee from one position to another within the system.

**2-3046** When authorized by statute or regulation, special pay provisions are made available on an equitable basis to all staff. (Important)

**DISCUSSION:** Special pay increases are excellent means for rewarding outstanding job performance, advanced academic achievements, and completion of special training. Equity and consistency in awards are critical.

**2-3047** Written policy and procedure provide that employees are reimbursed for all approved expenses incurred in the performance of their duties. (Essential)

**DISCUSSION:** None.

**2-3048** Written policy and procedure govern employee-management relations. (Essential)

PERSONNEL

**DISCUSSION:** The agency cannot operate effectively in the absence of specific procedures for the recognition and resolution of legitimate employee concerns. It is essential that the agency have written policy and procedure for responding immediately and effectively to problems that may develop in employee-management relations. These should include specific assignment of responsibility and precise delegation of authority for action, steps for resolving grievances and adverse actions, and an appeal procedure. Minutes should be kept of all such meetings to avoid misunderstandings and to provide a written record of meetings between employee groups and the agency's administration.

**2-3049** There is a written grievance procedure for employees that has been adopted by the parent agency. (Essential)

**DISCUSSION:** The agency should indicate specifically the procedure an employee can undertake when a grievance exists, identifying, at a minimum, the hearing body and provisions for appeal, if any. The written grievance procedure should be distributed and explained to all new employees at the time of orientation.

**2-3050** The field agency makes available to all employees a written code of ethics that prohibits employees from using their official positions to secure privileges for themselves or others and from engaging in activities that constitute a conflict of interest. (Essential)

**DISCUSSION:** To protect the integrity of the field agency, its staff, and the parent agency, all personnel must be made thoroughly familiar with a code of ethics which is established and enforced by the agency. The code should be available for employee reference and should be reviewed as part of each new employee's orientation.

**2-3051** Written policy prohibits personnel from accepting any gift or gratuity from or engaging in personal business transactions with the offender or the offender's immediate family. (Essential)

**DISCUSSION:** The potential conflict of interest is obvious and potentially harmful to the field agency, its personnel and the offender, and such activities should be unequivocally prohibited. Field personnel should not handle funds or property belonging to the offender except when essential to their supervisory function.

**2-3052** Written policy provides for field agency compliance with statutes and regulations relating to campaigning, lobbying and political practices. (Essential)

**DISCUSSION:** Field agency policy must reflect those regulations that govern campaigning and other political practices (e.g., the Hatch Act), so that actions of the staff will not hinder funding efforts or provision of services.

**2-3053** Written policy and procedure ensure that consultants and contract personnel who work with clients abide by the field agency's policies on confidentiality of information. (Essential)

**DISCUSSION:** The field agency should specify in writing what types of information are confidential between worker and client, what types of information should be shared with other agency personnel, and what types of information can properly be

## PERSONNEL

communicated to other agencies or to the public. Outside workers should agree in writing to respect these policies.

**2-3054** The agency provides the clerical support needed to accomplish its stated goals. (Essential)

**DISCUSSION:** Provision of adequate presentence investigation and/or field supervision for offenders should not be hampered by a lack of clerical support. There should be sufficient clerical personnel so that field officers can devote the majority of their time to their work load.

**2-3055** The field agency maintains an accurate, and current personnel record on each employee. (Essential)

**DISCUSSION:** A personnel record on each employee should contain, at a minimum, initial application, reference letters, appropriate results of employment investigation, verification of training and experience, wage and salary information, job performance evaluation, incident report, and commendations or disciplinary actions, if any.

**2-3056** Written policy and procedure ensure the confidentiality of the personnel record. (Essential)

**DISCUSSION:** Employee records must be protected against unwarranted examination. Agency policy should specify both those persons authorized to use confidential personnel records and the purposes for such use. Appropriate guidelines are stated in the Privacy Act of 1974.

**2-3057** Written policy and procedure make provision for employees to challenge information in their personnel file and have it corrected or removed if it is proven inaccurate. (Essential)

**DISCUSSION:** None.

**2-3058** Written policy and procedure provide for a written annual performance review of all employees which is based upon defined criteria and is reviewed and discussed with the employee. (Essential)

**DISCUSSION:** Effective performance review should be a continuous and ongoing process. To be effective, reviews should be objective and based on specific job criteria and explicit performance standards. Clearly developed criteria and performance standards provide a basis for consistent and unbiased evaluation reports of an employee's work. A written evaluation should be completed at least annually. The results of the evaluation should be discussed with the employee. (See related standard 2-3042)

## TRAINING AND STAFF DEVELOPMENT

**2-3059** Written policy and procedure provide that the field agency's training programs for all employees are specifically planned, coordinated, supervised by a qualified employee at the supervisory level, and reviewed annually. (Essential)

**DISCUSSION:** Staff development should be an integral part of the management and operation of the field agency. Therefore, a supervisory level staff member should be selected to maintain continuity and ensure cooperation in the training function. The training plan should include pre-service and in-service training curricula for the various subcategories, with specific timelines for completion of each training unit. (See related standard 2-3064)

**2-3060** The individual coordinating the training and staff development program has received specialized training for that position. At a minimum, full-time training personnel should have completed a 40 hour training-for-trainers course. (Essential)

**DISCUSSION:** The development of correctional staff is an important responsibility of the administration, whether it is achieved through the field agency's training program or through an academy or central training unit. Only trainers with specialized training should develop and direct the training program, although other specialists can be used to instruct in specific areas.

**2-3061** The field agency's training and staff development plan provides for an ongoing formal evaluation of all pre-service, in-service, and specialized training programs, and for an annual written evaluation report. (Essential)

**DISCUSSION:** Staff development programs should be evaluated at least annually to determine whether all components are having a positive impact on the attitudes, knowledge, and skills of the trainees. Program evaluation is helpful in planning new programs and in modifying existing ones.

**2-3062** Library and reference services are available to complement the training and staff development program. (Important)

**DISCUSSION:** None.

**2-3063** Space and equipment required for the training and staff development program are provided. (Essential)

**DISCUSSION:** Facilities for the training and development program should be easily accessible to the staff, free from distracting noise and large enough to accommodate 20-30 employees for classroom instruction. Equipment should be provided for audiovisual presentations.

**2-3064** The agency administrator of field services annually assesses personnel needs and plans for recruitment, training and staff development. (Important)

**DISCUSSION:** Personnel planning is not substantially different from planning for other requirements. The field agency staff should determine the types and numbers

of personnel who will be required in the future and what skills they should have. Future need should be measured against current or projected availability of such personnel. The agency should design education, training and recruitment programs to develop future personnel. (See related standard 2-3059)

**2-3065** Written policy and procedure provide that all new full-time employees receive 40 hours of orientation prior to job assignment; provisions exist for acknowledging and giving credit for prior training received. (Essential)

**DISCUSSION:** All new full-time employees in the agency, regardless of status or title, should have at least 40 hours of general orientation to the policies, organizational structure, programs and regulations of the field agency and, where applicable, its parent agency. This training should be given before the employee receives a job assignment. If the employee has had training in these areas prior to employment, he/she should receive credit and not be required to repeat this training.

**2-3066** Written policy and procedure provide that all full-time clerical and support employees receive a minimum of 16 hours of training annually, and that all full-time professional employees receive a minimum of 40 hours of training annually. The field agency specifies in writing the content of the annual training. (Essential)

**DISCUSSION:** Ongoing training enables employees to sharpen their skills, familiarize themselves with new developments in the field, and reinforce their knowledge and understanding of the fundamentals of their job. Retraining provides employees an opportunity to exchange experiences, define problems from their perspective, and communicate to the administration issues of special concern.

**2-3067** Written policy and procedure provide that all part-time employees working less than 35 hours per week receive orientation and training appropriate to their assignment. (Essential)

**DISCUSSION:** Training for part-time staff enables them to keep informed and up-to-date with changes in operations as well as policy and procedure.

**2-3068** In-service education and training programs are planned and implemented by the agency in cooperation with appropriate city, county, state and federal agencies, colleges and universities, and community organizations. (Important)

**DISCUSSION:** The in-service education and training program should be related to goals and objectives, and should be sufficiently diverse to meet varying staff needs. The many resources available in the community should be used whenever possible. Programs should be available for all levels of staff and should be reviewed regularly for relevance and effectiveness.

**2-3069** Written policy and procedure encourage and provide for employees to continue their education. (Important)

**DISCUSSION:** The agency should help its employees continue their education by allowing official time to attend college classes, staggering work hours to encourage school attendance, assisting with the cost of the education and helping employees secure financial assistance. (See related standard 2-3042)

**2-3070** The field agency provides administrative leave for employees attending professional meetings, seminars and similar work-related activities, and reimburses employees for expenses connected with these activities. (Important)

**DISCUSSION:** Outside training and educational programs may provide new ideas and insight into probation, parole and related activities. Participation in these activities should be encouraged, and the budget should include adequate funds for staff participation.

**2-3071** Field probation and parole officers who are authorized to carry firearms and/or chemical agents receive appropriate weaponry training; this training covers the use, safety, care and constraints involved in the use of weapons. (Mandatory)

**DISCUSSION:** Staff authorized to carry fire arms and/or chemical agents require thorough training in their use, safety and care. A specific curriculum must be established that includes individual and group instruction by competent authorities. The curriculum should include instruction regarding the limited conditions under which the use of weapons would be condoned; this training should be comparable to the police constraints/regulations of that particular jurisdiction. (See related standard 2-3162)

**2-3072** When probation/parole officers are authorized to arrest offenders they are trained in arrest practices before being allowed to make them. (Essential)

**DISCUSSION:** Field officers should be trained in the proper procedures for effecting an arrest and in the correct procedures for transporting prisoners. Proper restraining equipment should be available and used in all arrest situations. (See related standard 2-3154)

**2-3073** The field agency encourages staff participation in criminal justice and allied professional associations and activities on a local and national level. (Important)

**DISCUSSION:** Membership and participation in criminal justice and allied professional associations provides the administrator of field services and the staff the opportunity to stay abreast of developments in the field, to make contributions to the field and to further their knowledge and skills.

## FISCAL MANAGEMENT

**2-3074** The field agency's budget process is in accord with the policies, procedures and instructions of the jurisdiction of which it is a part. (Essential)

**DISCUSSION:** Although it is a distinct organization within the governmental structure, the agency should comply with the policies, procedures and instructions of the parent governmental jurisdiction. The budget should make adequate provision for the costs of personnel, operations and travel.

**2-3075** The administrator of field services is responsible for budget control and preparation, including expenditure and monitoring. (Essential)

**DISCUSSION:** The administrator of field services is responsible for the preparation and presentation of a detailed budget request and justification. Although budget specialists may be required, the administrator is ultimately responsible for the total budget process.

**2-3076** The administrator of field services participates in budget hearings conducted by the parent agency or the next higher level of government, and presents justification to support the budget request. (Essential)

**DISCUSSION:** As requested by the parent agency or the next higher level of government, the administrator of field services should prepare for the hearings and be ready to justify requests. The administrator's participation in budget hearings can promote more interest in the agency and its programs.

**2-3077** The administrator of field services monitors and reviews, on a continuing basis, the expenditure of budgeted funds. (Essential)

**DISCUSSION:** The administrator of field services should ensure that planning and budgeting are directly related to program objectives and that the fund flow over specified time periods is as projected. The review should include a full accounting of the funds allocated for each program function. Expenditures should be made only in accordance with appropriations.

**2-3078** Field agency or parent organization planning, budgeting and program management functions are interrelated, and all are linked directly with objectives. (Essential)

**DISCUSSION:** Coordination conserves resources, enhances public safety and permits more effective delivery of services to offenders. To the extent possible, programs should be subjected to cost effectiveness analysis to evaluate their contribution to stated goals and to see that goals are achieved with allocated funds. Priorities and programs should be revised when necessary as the result of this analysis. (See related standard 2-3008)

**2-3079** There is a space management program which provides adequate facilities for all field agency operations. The program is reviewed continually, and requests to meet space requirements are made to the parent governmental agency. (Important)

## FISCAL MANAGEMENT

**DISCUSSION:** Space management programs should provide for sufficient space and the efficient use of space. The facility should have attractive, clean, well-lighted, and acoustically sound offices and related accommodations, appropriate locations, and adequate maintenance. Continuous review of the space program takes into account client population shifts, changing property values, changes in public transportation, etc., and will facilitate planning for an optimum arrangement of space to serve the needs of offenders, their families and agency employees.

**2-3080** Written policy and procedure govern budget revisions. (Essential)

**DISCUSSION:** Because a budget serves as a guideline for anticipated revenues and expenditures, it will have to be revised periodically. Any significant revisions should be approved by the parent agency and any other appropriate government agency, and should adhere to funding source regulations.

**2-3081** When required by law or other regulations to collect funds from offenders, the administrator of field services is responsible for the collection, safeguarding and disbursement of all monies in accordance with court order. The written policy and procedure regarding the collection, safeguarding and disbursement of these monies are made known to staff and reviewed annually. (Essential)

**DISCUSSION:** Where it is necessary for the agency to receive monies from offenders, the agency administrator is ultimately responsible for them, even though other personnel may be assigned collection and disbursement duties. An effective collection and disbursement system requires the development and promulgation of written procedures necessary for the uniform and orderly performance of tasks. Such procedures should include, but not be limited to, clear statement of duties and responsibilities of each staff member, maintenance of accounting records, preparation of fiscal reports, administrative review of fiscal policies, and cooperation with auditors.

**2-3082** The field agency has written fiscal policies and procedures adopted by the governing authority which include, at a minimum: internal controls, petty cash, indemnification, signature control of checks, and employee expense reimbursement. (Essential)

**DISCUSSION:** None.

**2-3083** Written policy and procedure provide for both ongoing internal and independent audits of the agency's fiscal activities which are conducted annually, or at a time period stipulated by applicable statute or regulation, but not to exceed three years. (Essential)

**DISCUSSION:** Internal audits should be conducted on a continuing basis to determine whether established internal control procedures are being followed, to strengthen internal control where it is weak, to provide management with periodic information on the performance of its staff responsible for financial activities, and to provide management with information on which to base important decisions.

**2-3084** Funds are available for purchasing community services to assist offenders and to supplement existing programs. (Essential)

**DISCUSSION:** Some offenders are indigent or require services for which they can-

not pay, especially in emergencies. Funds may also be needed to pay for educational programs, vocational training, and similar programs most readily available from community organizations.

**2-3085** Written policy and procedure provide for employee insurance coverage to include, at a minimum: workman's compensation, civil liability, liability for state vehicles, blanket bond, and group medical. (Essential)

**DISCUSSION:** Although insurance coverage varies from jurisdiction to jurisdiction, correctional employees should be provided with liability coverage in relation to their work activities. In addition, jurisdictions should have some mechanism for replacing government property lost by fire or other catastrophic events. Coverage provided by private companies, a self-insurers program, or state indemnification is acceptable.

## CASE RECORDS

**2-3086** Written policy and procedure govern case record management and include, but are not limited to: the establishment, utilization, content, privacy, security, preservation, and a schedule for retiring or destroying inactive case records. These policies and procedures are reviewed annually. (Essential)

**DISCUSSION:** The orderly recording, management, and maintenance of data increase the efficiency and effectiveness of service delivery to the courts, release authorities, and offenders. Case records facilitate the planning, implementation, and evaluation of programs.

**2-3087** The agency maintains written records of decisions and events regarding probationers/parolees. (Essential)

**DISCUSSION:** Such records should include reasons for the offender's entry into the system, actions taken by the offender and officer, and rationales for significant decisions from entry until termination of supervision. Comprehensive case records expedite case reviews and conserve resources. (See related standard 2-3160)

**2-3088** The contents of case records are separated and identified according to an established format. (Important)

**DISCUSSION:** Standardization of case records promotes efficiency and effectiveness. A logical sequence for filing would be the following: intake data, legal documents, the presentence report, and, supervision history.

**2-3089** Case records are safeguarded from unauthorized and improper disclosure. (Essential)

**DISCUSSION:** An individual's constitutional right to privacy can be abridged if case files are improperly disseminated, especially if the information contained therein is inaccurate, incomplete or immaterial. The agency should establish procedures to limit access to case records to persons and public agencies that have both a "need to know" and a "right to know," and that can demonstrate that access to such information will serve a criminal justice purpose. (See related standard 2-3094)

## MANAGEMENT INFORMATION AND RESEARCH

### *Management Information Systems*

**2-3090** The field agency has access to and uses an organized system of information retrieval and review that is part of an overall research capacity. (Essential)

**DISCUSSION:** Management information systems and research facilitate decision making, research and timely responses both to offender needs and outside inquiries. These services often are provided by a division of a large state-wide correctional system. If the parent correctional agency does not provide these functions, the agency should assign selected personnel to the data collection function. Adequate training should be provided for these personnel.

**2-3091** The administrator of field services establishes or participates in the establishment of policies and procedures for collecting, recording, organizing, processing and reporting field services data developed for management information purposes; these policies are reviewed at least annually. (Essential)

**DISCUSSION:** Although other field agency personnel may be assigned these tasks, the administrator of field services is ultimately responsible for their accomplishment. The administrator should review, at least annually, all aspects of the management information system for relevance, completeness, effectiveness and efficiency.

**2-3092** The administrator of field services has established a procedure for receiving, at a minimum, quarterly reports from those individuals in charge of the information system and research program. (Important)

**DISCUSSION:** Those in charge of the field agency's information system, related data collection and research program should report to the administrator of field services at least quarterly. Appointment of a single director to be responsible for the information system and research efforts may facilitate the reporting procedure.

**2-3093** Using agency goals and objectives as guidelines, agency staff identify information needs prior to the collection of data for the management information system. (Important)

**DISCUSSION:** The information system should have the capacity to deliver two basic types of information: (1) standard information, consisting of the data required for management control, such as the parole success rate, the numbers of offenders under supervision at a given time, caseload levels, and payroll data; and (2) demand information, consisting of information that can be generated when a report is required, such as the number of cases to be terminated during a 12-month period by offense, type of disposition, and month of termination. The agency administrator should be aware of both the capabilities and limitations of the system and should ensure that the information required for the successful operation of the agency is obtained.

**2-3094** Written policy and procedure govern the security of the information and data collection system, including verification, access to data and protection of the privacy of offenders. (Essential)

**DISCUSSION:** Procedures should be specified not only for verifying data before they are entered into the system, but also for determining what data are required. As with case files and records, access should be limited to persons and public agencies that have both a "need to know" and a "right to know," and that can demonstrate that access to such information will serve a criminal justice purpose. (See related standard 2-3089)

**2-3095** The field agency or parent governmental organization collaborates with other criminal justice systems and human service agencies in information gathering, exchange and standardization. (Important)

**DISCUSSION:** System-wide collaboration is critical to efficient and effective management. The key to effective collaboration is standardization and sharing of information. The needs of probation and parole agencies are very similar, particularly with respect to the type and capabilities of services available in the community. Duplication of effort and costs often can be avoided or reduced by exchange of information. While it is important that probation/parole agencies share information, it is also vital that they respect the confidentiality and privacy of parole records.

### *Research and Evaluation*

**2-3096** The field agency supports and engages in internal research relevant to its programs, as well as research conducted by outside professionals. (Essential)

**DISCUSSION:** Research can assist the agency in establishing goals, objectives and plans for the future and can contribute to more efficient and effective supervision, conservation of resources and increased public safety. Because of time or personnel constraints, agencies often cannot conduct internally all necessary research. They should, therefore, contract with responsible outside professionals. However, both internal research and outside research should not be permitted to proceed until the research design and agency requirements are fully understood.

**2-3097** The administrator of field services and designated staff participate with researchers in deciding what questions should be addressed, what data should be gathered, and how that data should be presented. (Important)

**DISCUSSION:** While it is important that the administrator of field services and staff be guided by the best research capacity they can obtain, they should play an important role in shaping the direction of that research. Cooperation among operational and research personnel is required for determining research needs, establishing priorities among needs, and collecting and interpreting data gathered. This cooperation will ensure that the research is relevant and consistent with agency goals and objectives.

**2-3098** The agency administrator of field services reviews and approves all research projects prior to their implementation. (Essential)

**DISCUSSION:** Research should not be permitted to proceed until the research

design and the requirements of field agency staff are understood fully and agreed upon.

**2-3099** When changes in the management of offenders may significantly affect the public safety, demonstration programs are used to determine how the changes will impact on public safety and agency operations. (Essential)

**DISCUSSION:** Significant changes in agency practice should be supported by research evidence that public safety is undiminished and agency operations unimpaired. New programs should be initiated on a trial basis to permit scientific evaluation before they are expanded to the entire offender population.

**2-3100** To supplement the fiscal resources made available by its own jurisdiction, the agency receives or seeks fiscal support for its research programs from national and private funding agencies. (Important)

**DISCUSSION:** Funds for research are available from a variety of public and private sources. These funds may supplement existing resources and increase research capacity.

**2-3101** Written policy and procedure exist to ensure that the privacy of offenders and other parties will be maintained during all research. (Essential)

**DISCUSSION:** Although it is important that agencies facilitate research, it is essential that they safeguard the privacy and interests of offenders, offenders' families, and other persons.

**2-3102** Written policy and procedure specify the method for dissemination of research findings. (Important)

**DISCUSSION:** Written policies and guidelines will prevent misunderstandings about the publication and dissemination of research results. As a general rule, research findings should be published and distributed regardless of the nature of the findings. Their publication can avoid duplication of effort elsewhere and provide for the sharing of knowledge and experience throughout the correctional field.

**2-3103** There exists a written definition of recidivism, which is understood and used by all agency personnel using recidivism data. (Essential)

**DISCUSSION:** Recidivism is a useful criteria for evaluating probation/parole agencies and offender performance. The agency should develop a standard definition of recidivism that considers: the nature of events to be counted; the categories of behavior and degrees of seriousness to be included; the time of release (use of cohorts); and, the duration of the follow-up period.

**2-3104** The agency measures performance on at least two levels: overall performance and achievement of more immediate program goals. A review of performance is conducted at least every six months. (Essential)

**DISCUSSION:** A distinction is made here between system review and program review. In a system review, overall performance of the entire field organization in

achieving its goals and objectives is the object of measurement. In a program review, effectiveness of a particular program in the achievement of an immediate objective is the object of measurement.

## SUPERVISION—PROBATION AND PAROLE AGENCIES

**2-3105** The agency's statement of purpose affirms that the supervision program is to provide necessary services to the offender with the goal of reducing the probability of continued criminal behavior on the part of the offender. (Essential)

**DISCUSSION:** Supervision should be intended for the protection of the community and for the provision of services to the offender in order to reduce the probability of continued criminal behavior. Provision of adequate assistance and services to the offender is the best insurance against harm to the community.

**2-3106** There is a written workload formula which is implemented in the allocation of work to field staff. (Essential)

**DISCUSSION:** This formula should consider factors such as legal requirements, goals, character and needs of offenders to be supervised, geographic area, administrative tasks required of the field staff, and types of personnel to be utilized. A workload rather than caseload model is based on programs of differential supervision ranging from intensive to minimal. Supervision tasks must be identified, measured against a time requirement, and then translated into specific total time and staff requirements.

**2-3107** A full-time supervisor does not supervise more than 10 field staff members. (Essential)

**DISCUSSION:** The span of control of a supervisor in the agency should be large enough to provide economical supervision, but not so large as to prevent effective management. Exceptions should be justified based on the experience of the field officers supervised. Ideally, all personnel supervised should be located in the same office as the supervisor and perform the same function. For a supervisory span of 10, all personnel supervised should be experienced in their specific functions; a smaller ratio of supervision should be used with a high proportion of inexperienced field staff. In small or remote field offices where the supervisor has other duties, the supervisory time should be allotted at the ratio of one tenth for every field staff position in the office.

**2-3108** Field staff who have caseloads report to a designated supervisor who is trained in the supervisory function. (Essential)

**DISCUSSION:** Regular case conferences between field staff and their supervisors can provide training and improve professional development. Such contacts can also help to ensure maximum effectiveness and efficiency in job performance. The span of control for a supervisor should not exceed six, and the job of supervising field staff should be full time. (See related standard 2-3107)

**2-3109** Field supervision is continually reviewed by the supervisor from both an administrative and case management perspective. (Essential)

**DISCUSSION:** Administrative review of the conduct of field supervision should be ongoing and should focus on how well the field services comply with policies and

procedures regarding the degree and type of supervision and assistance provided of offenders.

**2-3110** Written policy and procedure govern classification and supervision of offenders in order to safeguard the community and meet the program needs of the offender. (Essential)

**DISCUSSION:** Offenders should be placed in the appropriate supervision category immediately following the initial interview. Classification should be consistent with individual dignity and basic concepts of fairness, provide for maximum involvement of the offender, and include the concept of diminishing field supervision. Agency procedures should require that the initial classification be recorded and justified in the records. Reclassification should occur at quarterly evaluation periods, and are recorded and justified in the chronological record. (See related standard 2-3119)

**2-3111** The conditions of probation/parole are furnished in writing to the offender and translated into those languages spoken by significant numbers of offenders. When a problem prevents an offender from understanding probation/parole conditions, a field officer or other person assists the offender in understanding them. (Essential)

**DISCUSSION:** Conditions of probation/parole must be in writing so that there is no uncertainty as to the expected standards of behavior or requirements imposed. Adequate provision should be made for the needs of the handicapped. Because the conditions of probation/parole may serve as the basis for violation hearings, it is essential that they be stated clearly and recorded.

**2-3112** The offender acknowledges, in writing, receipt and understanding of the conditions of probation/parole. (Essential)

**DISCUSSION:** Because offenders are required to comply with court/authority orders to meet stated conditions for their behavior, it is essential that they receive a copy of the conditions and sign the form containing them. The acknowledgment includes a statement that the conditions are understood, that there are no questions as to expected behavior, and that the offender will comply with the conditions.

**2-3113** Supervision services are available 24 hours a day. (Essential)

**DISCUSSION:** The needs of offenders do not emerge only during business hours; it is necessary that services exist around-the-clock and on weekends. The 24-hour availability of supervision services should be made known to offenders, and staff should be advised of these hours by publication of formal schedules. Use should be made of split shifts, duty officers, paging systems, and all-night and weekend telephone numbers.

**2-3114** Consistent with court or parole authority requirements, the field officer and the offender jointly develop objectives and a supervision plan. This plan includes whichever of the following is most appropriate for the supervision of the individual offender: field contacts, office contacts or collateral contacts. The offender receives a copy of the plan. (Important)

**DISCUSSION:** Planning that incorporates the needs, problems, capabilities, limita-

tions and the participation of the offender provides a positive framework for the period of supervision. It is important that the goals and plans remain within the offender's capacity. The plan should incorporate those provisions necessary for proper supervision, such as reporting and testing requirements, compliance with regular and special conditions of probation/parole, etc.

**2-3115** When specific services ordered by the court or releasing authority are not available, the field staff should return the case to the court or releasing authority for further dispositional consideration. (Essential)

**DISCUSSION:** Offenders often are subject to discriminatory treatment by noncorrectional agencies and are prevented from participating in service programs available to citizens. If access to ordered services is not being provided to the offender, the field office should so inform the releasing authority.

**2-3116** The field supervision plan is reviewed with the offender on an as-needed basis and adjusted in accordance with the offender's performance in the community. (Important)

**DISCUSSION:** The agency's supervision system should include provision for the field officer to review with the offender the adjustment and/or progress the offender is making, and to revise the supervision plan and level of supervision as appropriate. This review should take place on an as-needed basis, but no less often than once every three months. Changes in the supervision plan are reviewed with the field officer's supervisor.

**2-3117** The supervision plan requires that the field officer or other duly authorized persons maintain personal contact with the offender according to the supervision plan. (Essential)

**DISCUSSION:** Supervision of the offender should include scheduled and unscheduled visits by the field officer to the offender's home and, when possible, place of employment. A duly authorized person is any agency or qualified person who offers the necessary services on an accepted contractual basis. Office interviews are a useful supplement to the field supervision and, at times, provide the best setting to resolve administrative questions regarding the offender's case.

**2-3118** The supervision plan requires that the field officer contact the offender in the community and contact persons and agencies in the community that are familiar with the offender; such contacts are made according to the supervision plan and have a specific purpose. (Essential)

**DISCUSSION:** The monitoring of the offender's progress in the community is essential for the field officers. Field officers should not depend solely upon their own insights, but should supplement them with information from others, so that a more accurate evaluation and assessment will emerge. These contacts (i.e., employment, residence, family, friends) should be according to a plan, have a specific purpose, and be adjusted as offender performance and behavior in the community change. The field officer should meet with the offender outside of the office in such places as the home, on the job or during their recreational pursuits.

**2-3119** The community supervision plan specifies the minimum number of contacts with the offender per time period. (Essential)

**DISCUSSION:** A specified minimum number of contacts with the offender helps ensure that the state, through the field officer, stays informed about the offender's location and activities. This monitoring requirement also serves to remind offenders that they remain under legal jurisdiction and must meet certain obligations. Provision should be made for officers and their supervisors, in case conferences, to determine the case services to be provided and the number of case contacts included in this service. The range and nature of field and office contacts should be commensurate with the agency's classification program and supervision plan for each offender. Waiver of the minimum contacts should be permitted under circumstances such as extreme climatic conditions, unusual tension or violence potential in a neighborhood.

**2-3120** Written procedure governing community supervision provides for review of levels of supervision at least every six months, with prompt reclassification where warranted. (Important)

**DISCUSSION:** A minimum of six months should elapse between reviews of minimum supervision cases, with three-month reviews for cases requiring maximum supervision. Reclassification should occur promptly when offender adjustment warrants. Reviews are conducted by the field officer and the supervisor.

**2-3121** For those agencies that require written reports from offenders under supervision, the interval between them is modified in relation to community adjustment; information in the reports is relevant to the supervision plan and/or agency administrative requirements. (Important)

**DISCUSSION:** Written reports by offenders do not substitute for personal supervision by field officers. They should be required only when an advantage in public safety or offender adjustment is obtained.

**2-3122** Written policy and procedure provide that the confidentiality of the offender's probation/parole status is maintained. (Essential)

**DISCUSSION:** Policies and guidelines relating to disclosure should be developed collaboratively by the agency with its parent agency, and other criminal justice agencies. Unless public safety is threatened, and within statutorily defined limits, the agency should keep the offender's probation/parole status confidential. The use of unmarked automobiles, discreet visits to places of employment and residence, and plain mailing envelopes are simple techniques to ensure confidentiality.

**2-3123** Written policy and procedure preclude offenders from being confronted with possible probation/parole violations for failure to meet financial obligations other than those which are conditions of probation/parole. (Essential)

**DISCUSSION:** The agency should not be placed in the position of collection agency for the community. The agency and field officer should not enforce the collection of civil obligations by threats of probation/parole violation. Court ordered debts, such as fines, restitution and child support, should be paid, and provision is made in the supervision plan for payment of such obligations.

**2-3124** Written policy and procedure provide that probation/parole agency staff may request the court or the paroling authority to add, remove or modify any or all of the special conditions of supervision. (Essential)

**DISCUSSION:** One condition of probation/parole is applicable to all offenders—that they obey the law. Other conditions are added to this basic requirement to the extent that they add protection to the public and/or ensure the delivery of services to the offender. Conditions should be tailored to individual offenders, reviewed regularly, and amended if required. They should be realistic, few in number, and phrased in positive rather than negative terms. There should be provision as the individual's adjustment warrants, for the supervising officer to petition the court or the paroling authority for changes in special conditions.

**2-3125** A closing report is prepared that summarizes the performance of the offender during the entire period of supervision. (Essential)

**DISCUSSION:** At the conclusion of probation/parole supervision, a "summary of supervision" report should be prepared that indicates what occurred during supervision. The report should include unusual occurrences, the use or unavailability of community resources that affected the outcome of the supervision, and the field officer's assessment of the reasons for the success or failure of the outcome. These reports may provide guidance for the conduct of future cases.

**2-3126** Written policy and procedure provide for at least annual reviews of offender progress with a recommendation of early termination of probation/parole where indicated; the results of such reviews are recorded in the case file. (Essential)

**DISCUSSION:** The agency should have the prerogative to recommend early termination of probation/parole when it is clear that the delivery of services to the offender is no longer required to protect the community or to enhance the individual's overall performance. The agency should develop, in collaboration with the courts, criteria for early termination of probation. It is important that the agency advise the court of those individuals whom it believes meet the criteria for early termination. Procedure may include case review by peers, supervisors and administrators or their representatives. Reduced intensity of supervision may be an appropriate step prior to early termination of probation/parole.

**2-3127** The field agency identifies the collective service needs of its probationers/parolees at least biennially. (Essential)

**DISCUSSION:** Although the service needs of individual offenders are important, the agency has a responsibility to assess periodically the collective needs of all its offenders to ensure that it is maximizing the delivery of services. The agency should concentrate on developing these community resources that will be of value to many offenders. Determination of collective needs will emerge from a careful screening of case files and discussions with staff, offenders and community agencies.

**2-3128** Male and female offenders under supervision have equal access to all agency programs and activities. (Essential)

**DISCUSSION:** Male and female offenders should be encouraged to participate equally in all programs and activities available through the agency.

**2-3129** The field agency supports efforts to develop community resources which can provide services to offenders, and field staff actively support community efforts on behalf of offenders. (Essential)

**DISCUSSION:** Probation and parole are community oriented and community centered. The agency should be a mobilizing force in the community and assist in the development of community resources, so that offenders can benefit from a wide variety of these resources. Field officers should serve as community organizers in addition to their more traditional roles.

**2-3130** The field staff maintains a cooperative working relationship with public and private service agencies. (Essential)

**DISCUSSION:** The agency should maintain a list of the services that are available from public and private service agencies, and should outline the procedures whereby offenders are referred for assistance. This document should be distributed to all field staff. Designated field staff should serve as liaison with the larger service agencies, such as departments of employment, vocational rehabilitation or public assistance.

**2-3131** A current inventory of functioning community agencies is maintained which is readily available to the field staff. The effectiveness of these resources is evaluated periodically. (Important)

**DISCUSSION:** To ensure that parolees and probationers are receiving the help for which they are referred to community service agencies, the probation/parole agency should evaluate these resources periodically, and maintain and distribute to all field officers a current inventory of effective agencies. Community resources that are not proving effective should be informed in writing and offered whatever assistance possible in order to become fully functional.

**2-3132** When the incidence of special needs offenders warrants, the field agency initiates and/or supports provision of special programs for these offenders. (Important)

**DISCUSSION:** Offenders who should be part of special programs, such as drug abusers, alcoholics, the mentally ill, retarded or otherwise handicapped, should be provided special programs when a sufficient number are found in the offender population.

**2-3133** The field agency devotes specific resources to assist employable offenders in finding suitable employment. (Essential)

**DISCUSSION:** The agency should maintain close liaison with the state department of employment, both at the headquarters and at local offices, in order to remain abreast of the changing labor market and to ensure that eligible offenders obtain job placement assistance. Field staff should solicit job placement assistance from labor unions, private sector businesses, and community action and self-help groups.

**2-3134** The agency maintains a file of those agencies providing financial assistance to offenders; field officers are instructed and trained in methods to obtain financial assistance for offenders from available community resources. (Essential)

**DISCUSSION:** Adequate financial support is essential for individuals beginning probation or parole with no income. Such offenders should have enough funds or resources to maintain themselves for at least three weeks, or until a first payday. Public assistance and welfare officers increasingly are extending financial help to offenders in need, and field officers should know where and how this help is available. Other public and private agencies extend financial assistance in selected cases, and field officers should know how to use these sources. Agencies should plan for some form of unemployment compensation for released offenders until they are gainfully employed.

**2-3135** Written policy and procedure provide for enrollment and support of offenders in educational programs and vocational training. (Essential)

**DISCUSSION:** Long considered part of the aftercare program for juveniles, educational and training programs are becoming significant resources for adult offenders. In recent years more federal funds have been made available to finance the academic education and vocational training of selected adult and juvenile offenders. Vocational rehabilitation agencies are also active in providing services for eligible offenders. The agency should identify and support programs featuring education and training. Staff should be designated to serve as liaison with major program offices, and the agency should maintain close, cooperative relationships with colleges and trade schools for purposes of developing suitable programs of learning for offenders.

**2-3136** The agency provides guidance to offenders on leisure time programs and activities available in the community. (Important)

**DISCUSSION:** Constructive and acceptable leisure time activities contribute to a satisfactory community adjustment, therefore, the agency should provide the necessary guidance for those offenders who want to learn how to use leisure time activities.

**2-3137** The agency, in accord with the courts or parole authority, defines specifically the types of minor violations that can be resolved by field staff. (Important)

**DISCUSSION:** Although all major probation/parole violations are reported, and final resolution is determined by the courts or parole authority, many minor violations can be handled satisfactorily by field staff. Written policy and procedure should be provided to permit field staff to resolve minor probation/parole violations. Records of all minor violations and their resolution should be maintained and be available to the courts or parole authority whenever a change is being considered in the legal status of that case.

**2-3138** All alleged probation or parole violations are reviewed by the field officer with the supervisor. (Essential)

**DISCUSSION:** Following investigation of the alleged violation, the field officer

should confer with his/her supervisor to determine what action is required. A decision should be made at this time regarding the need for a formal violation proceeding or an informal administrative adjustment. Any action taken should be noted in the case record.

**2-3139** The field officer's written report of an arrest or violation includes the officer's recommendation and justification as to final action or resolution of the situation. (Essential)

**DISCUSSION:** Because the field officer is often very familiar with the case, his/her views on how best to resolve the matter will assist the final decision-maker. The officer's recommendation should be in accordance with the organization's policies and guidelines.

**2-3140** All arrests and probation/parole violations are investigated immediately; all serious arrests and major probation/parole violations are reported promptly in writing to the proper authority within time deadlines previously defined in writing by the agency. (Essential)

**DISCUSSION:** All arrests and alleged probation or parole violations that come to the attention of the field officer should be investigated promptly and thoroughly, reviewed with the field officer's supervisor, and documented in complete written reports for the case record. This procedure is in keeping with the evidentiary requirements mandated by the United States Supreme Court regarding parole revocation, and should be followed in probation cases also. The investigations should include law enforcement reports, statements from victims or witnesses, and a statement or explanation from the offender.

**2-3141** When a probationer or parolee is arrested on a detention warrant, or when a detention warrant is lodged as a back-up to bail in conjunction with pending criminal charges, a preliminary hearing is held within 14 calendar days after the arrest and detention of the offender or the lodging of the detention warrant; however, when there has been a conviction or a finding of probable cause on new criminal charges, the preliminary hearing is not required. (Essential)

**DISCUSSION:** The United States Supreme Court case of *Morrissey v. Brewer* 408 U.S. 471 (1972) requires, as a matter of due process, that a preliminary hearing be conducted as soon as possible after an offender is taken into custody, so that evidence and sources are readily available. The purpose of the hearing is to determine whether probable cause exists which indicates that probation or parole conditions have been violated. Later cases in various jurisdictions have held that a conviction or a finding of probable cause on new criminal charges takes the place, for due process purposes, of the preliminary hearing.

**2-3142** The preliminary hearing is held in or near the community where the violation is alleged to have occurred or where the offender has been taken into custody. (Essential)

**DISCUSSION:** None. (See related standard 2-3141)

**2-3143** The preliminary hearing may be delayed or postponed for good cause, and the probationer/parolee may waive the hearing if first informed of rights pertaining to the hearing and of the consequences of waiving the hearing. (Essential)

**DISCUSSION:** Due process requires that any waiver of rights by the probationer/parolee be done knowingly and voluntarily. Therefore, the revoking authority should assure that no form of coercion is used to induce a waiver of the preliminary hearing, and that the parolee understands the nature and consequences of the hearing before waiving it.

**2-3144** When requested by the revoking authority, a member of the administrative staff or field officer conducts a preliminary hearing and makes findings as to probable cause for revocation. (Essential)

**DISCUSSION:** The *Morrissey* case provides that the hearing officer need not be a judicial officer, but may be a parole staff member, so long as that staff member is impartial.

**2-3145** The preliminary hearing is conducted by an administrative staff member or officer who has not previously been involved. (Essential)

**DISCUSSION:** In view of the requirement that the hearing officer be impartial, it is inappropriate for the officer who supervised the offender, or an individual who authorized the offender's detention to conduct the preliminary hearing.

**2-3146** At least three days prior to the preliminary hearing, the probationer/parolee is notified in writing of the time and place of the hearing, and of the specific violation(s) charged. The probationer/parolee is also advised in writing of the right to:

Present evidence and favorable witnesses

Disclosure of evidence

Confront adverse witness(es) unless the witness(es) would be subjected thereby to a risk of harm

Have counsel of choice present, or, in case of indigent persons who request assistance to adequately present their case, have counsel appointed

Request postponement of the hearing for good cause.

(Essential)

**DISCUSSION:** Due process requires that the parolee receive notice of the hearing, of the specific acts alleged to have constituted a violation, and of all rights with respect to the hearing. Consistent with the United States Supreme Court case of *Gagnon v. Scarpelli* 411 U.S. 778 (1973), a revoking authority should decide, on a case-by-case basis, whether to appoint counsel for an indigent probationer/parolee who requests such assistance. Among the factors to be considered in making this decision are: whether the offender denies committing the alleged violation(s); whether there are mitigating factors which are complex or otherwise difficult to develop or present; and whether the offender appears to be capable of speaking effectively in his/her behalf.

**2-3147** The person who conducts the preliminary hearing determines whether there is probable cause to revoke probation or parole and hold the offender for a revocation hearing before the revoking authority. The revoking authority may empower the hearing officer to make the provisional revocation decision, or merely to report his/her findings and recommendation to the authority for a decision as to revocation. The hearing officer issues a verbal decision or a recommendation immediately after the hearing and provides a written decision to the offender within 21 calendar days of the hearing. (Essential)

**DISCUSSION:** The hearing officer should make a summary of the documents presented and responses made at the preliminary hearing in order to make a determination as to probable cause for revocation. Although the findings need not be formal, the officer should state the reasons for the determination and indicate the evidence relied upon.

**2-3148** The probationer/parolee is sentenced to or returned to prison only when probable cause is found at the preliminary hearing and when it is determined, after considering the appropriateness of less severe sanctions, that the clear interest of the public requires incarceration. (Essential)

**DISCUSSION:** The preliminary hearing has a usefulness that goes beyond the narrow fact-finding process. The hearing may provide an occasion to identify and reverse potentially harmful patterns of conduct, or to identify gaps in the program of supervision and recommend alternatives. The authority should consider not only whether a violation has been committed, but also whether a less severe sanction is appropriate.

**2-3149** When violations occur, alternatives to revocation and incarceration are considered to the extent that public safety is not endangered and the possibility of successful community adjustment exists. (Essential)

**DISCUSSION:** Alternatives to incarceration include: the imposition of special conditions of future probation/parole; increasing the intensity of supervision or surveillance; placement in a halfway house; enrollment in a local detoxification facility; transfer of the case to another district or area; and, involvement with a community or self-help organization.

**2-3150** Written policy and procedure govern, in conformance with prevailing law, cooperation with law enforcement agencies in efforts to apprehend offenders known to be or suspected of being involved in criminal activities. (Essential)

**DISCUSSION:** When police are trying to detect and apprehend offenders known to be or suspected of being involved in new crimes, field staff should cooperate by furnishing photographs, descriptions, and all other information requested by police officers. If field officers have definite information that might assist in effecting a proper disposition, they should submit such facts immediately to the appropriate authorities. Field officers should establish and maintain effective communications with local police units for the exchange of information relative to offenders' activities.

**2-3151** Agency policy prohibits the use of probationers/parolees as police informers; written policy and procedure specify the conditions for exceptions. (Important)

**DISCUSSION:** Probationers/parolees should not be subjected to the criminal contacts and influences that are involved in gathering information for police in collaboration with other offenders. Procedures should specify the conditions under which exceptions are made. When an offender can and is willing to help the police, and a review of the situation indicates this is warranted, there should be a written agreement between the law enforcement agency and the probation/parole organization that specifies the conditions under which the offender will be used, including a

definite time period. Procedures should include securing the approval of probation/parole administrators and authorities. The field officer should always be informed of such activity within his/her caseload.

**2-3152 Written policy and procedure specify the types of action required to locate and recover absconders. (Essential)**

**DISCUSSION:** Field investigation should include inquiry at the last known residence and place of employment, and checks with family, friends, local jails, hospitals, welfare and service agencies, and other agencies with whom the offender may have had contact. Also, tracer letters should be mailed to all possible contacts, including those outside the immediate area. When appropriate, all law enforcement agencies should be notified and an arrest warrant issued.

**2-3153 When statute permits, written policy and procedure provide that recovered absconders who commit no new crimes, who are not viewed as an undue risk to the public or who surrender themselves, may be continued on community supervision. (Important)**

**DISCUSSION:** Many absconders only avoid supervision. When such individuals are located, an evaluation should be made of their activities, and their present situation should be assessed. Consistent with public safety, those with no delinquent behavior, other than absconding, should be restored to active supervision.

**2-3154 Written policy and procedure govern the authorization of probation/parole officers to arrest offenders. (Essential)**

**DISCUSSION:** When the power to arrest is allowed, any action taken should be preceded by a conference between the officer and the supervisor. If it is concluded that an arrest is necessary, trained field officers should make the arrest, using law enforcement personnel when personal or public safety may be endangered. While most arrests require warrants, warrantless arrests may be made when the violation involves the commission of a crime, and current legal standards for warrantless arrests are met. (See related standard 2-3072)

**2-3155 Warrants for the arrest and detention of offenders, pending a determination by the revoking authority as to whether probation/parole should be revoked or provisionally revoked, are issued only upon the affirmative approval of a revoking authority, or the statewide or regional director of supervision services. (Essential)**

**DISCUSSION:** The arrest and detention of an offender on violation charges is a serious act with profound implications for the offender. In view of the loss of liberty which results from the issuance of a detention warrant, the need for such a warrant should be reviewed by the revoking authority, or the statewide or regional director of supervision services. The power to issue detention warrants should be exercised by such administrative personnel, not by the officer involved directly in the supervision process.

**2-3156 Warrants for the arrest and detention of offenders are issued only upon adequate evidence which indicates a probable serious or repeated pattern of violation of conditions and a compelling need for detention pending the revoking authority's initial revocation decision. (Essential)**

**DISCUSSION:** The standard for the issuance of detention warrants may not rise to the standard of probable cause required for arrest on criminal charges. However, to justify issuance of a detention warrant, sufficient evidence should be produced to indicate that conditions have been seriously breached and that detention is required. Detention may be required in order to prevent injury to an individual or the public, to interrupt a serious continuing violation of conditions, or to assure the presence of the offender at a preliminary hearing when it is determined that he/she would not attend voluntarily.

**2-3157 When violation charges are based on the alleged commission of a new crime, a detention warrant is only issued when the offender's presence in the community would present an unreasonable risk to public or individual safety. (Essential)**

**DISCUSSION:** The issuance of a detention warrant often precludes an offender who is charged with committing a new crime from the possibility of bail or other forms of pretrial release. As a general rule, offenders should be able to seek the forms of pretrial release which are available to other criminal defendants. However, the presence of other serious probation/parole violation charges or a danger to public or individual safety may justify the issuance of a detention warrant when the offender is charged with committing a new crime.

**2-3158 Written policy and procedure provide for the use of physical force only in instances of justifiable self-defense, protection of others, prevention of property damage and prevention of escapes, and in accordance with appropriate statutory authority. Only the minimum force necessary is employed. (Essential)**

**DISCUSSION:** Sometimes offenders lose control over their actions, becoming violent, and they must be brought under control. Assistance should be sought from fellow field officers or from local police.

**2-3159 All incidents involving use of physical force are reported fully, promptly and in writing to administrative staff for their information and review. All injuries are reported in writing and treated promptly. (Essential)**

**DISCUSSION:** Prompt and complete written reports of any use of force are essential as a means of administrative evaluation and control of field officer actions; such reports are also essential basic documents for protection of the agency and the affected personnel in case of subsequent complaints, accusations or court suits.

**2-3160 Written policy and procedure govern searches of offenders by field officers and ensure the proper disposition of all confiscated items. (Essential)**

**DISCUSSION:** When allowed, searches of offenders should comply with legal requirements. Written regulations should detail how such searches are to be conducted and under what circumstances, and require a stated reason for the search. Whenever circumstances permit, field officers should seek concurrence from their supervisors on the possible need for a search. The supervisor should conduct a postsearch review to ensure that the search was conducted properly. To prevent accusations the field officer who confiscates any property should, for his/her own protection, report the incident to his/her supervisor as soon as possible and should promptly deposit the property with the appropriate law enforcement office.

**2-3161** Special supervision reports are prepared whenever an unusual situation involving the offender occurs. (Essential)

DISCUSSION: An unusual situation during the period of supervision is any occurrence or event which would impact significantly on public safety or probation adjustment. (See related standard 2-3087)

**2-3162** Probation/parole officers do not routinely carry weapons in the performance of their duties. Written policy and procedure specify those situations in which agency personnel may carry weapons. (Essential)

DISCUSSION: Agency policy should authorize the use of weapons only in carefully defined and reviewed situations. The agency should train those probation and parole personnel who are authorized to carry weapons in the proper use of those weapons. (See related standard 2-3069)

**2-3163** Written policy and procedure require that all probationers/parolees are informed of the grievance program available to them at the time of the initial interview. (Essential)

DISCUSSION: Specific procedures should be defined so that all offenders who believe their rights have been or are about to be violated by administrative actions and conditions of correctional control, treatment and other services can file complaints. Grievance procedures should include: a time limit for written responses and action; evaluation by someone not directly connected with the case under investigation; special provisions for emergencies; right to appeal; and, a monitoring system. (See related standard 2-3023)

**2-3164** Written policy and procedure govern the transfer of supervision of offenders to and from other jurisdictions. Transfer policies are in accordance with the Interstate Compact on Probation and Parole and other interstate agreements. (Essential)

DISCUSSION: Supervision of offenders is transferred when offenders move into other jurisdictions. The new probation/parole agency is notified so as to permit continuing supervision and to preclude uncontrolled and unauthorized relocation of offenders outside the area of their original jurisdiction. Procedures should exist for the return of foreign nationals to their home countries under circumstances which are in concert with authorities in the home countries and in the best interests of all concerned. The interstate transfer of supervision of offenders is regulated by two compacts. Compliance with these compacts ensures the public the protection that probation/parole provides, and provides offenders the services they need. Although the interstate compacts provide considerable detail on the transfer process, it is important that these policies be localized and supplemented as necessary.

**2-3165** A staff member is designated to act as liaison for the transfer of offenders. (Important)

DISCUSSION: Effective administration of the compacts requires the clear assignment of responsibility to a designated staff member, who should be thoroughly familiar with the rules and procedures for implementing transfers. The designated staff member also may provide training to field personnel and promulgate local guidelines. Regardless of the amount of interstate transfer activity, at least one staff member should be charged with and have expertise in this function.

## SUPERVISION—PAROLE AGENCIES ONLY

**2-3166** Unless precluded by statute or court order, parole agency policy specifies that no inmate is released on parole until the parole program is verified by a designated parole officer. (Essential)

DISCUSSION: To ensure that the inmate is being released to a legitimate parole program, policy should provide for authorizing release on parole only when the release program has been investigated and verified by a parole officer. The verification process should include field visits by the parole officer to the parolee's prospective employer, and family or friends with whom the parolee plans to reside. This investigative procedure should include the option to reject or modify the release program if circumstances warrant.

**2-3167** Unless precluded by statute or court order, written policy and procedure provide that the parole agency receives pertinent information about a prospective parolee in advance of the parole date to allow for parole program development and/or verification. (Essential)

DISCUSSION: Adequate time is needed to develop a sound program for the individual about to be paroled. In cases where the parole officer must develop a parole program, particularly where a number of community resources and relatives may be involved, early receipt of referral material is essential. Even in cases where only verification of a job and residence is needed, early receipt and completion of this task by the parole staff eases the anxiety of the inmate. The options of placing the parolee in transitional release programs, such as work release and halfway houses, and the possible need to advance or modify the release date to accommodate a particular release program, require that the parole officer receive the referral material three months in advance of the parole date.

**2-3168** The parole agency supports release policies that require employable inmates to have a visible means of support or a reasonable assurance of employment, rather than a promise of a specific job, before release on parole. (Essential)

DISCUSSION: Often inmates cannot be released on parole until there is a specific and verified job waiting for them. This results in many inmates being "overdue," or retained past their parole date in the institution. This is an expensive policy, both in terms of institutional costs and inmate anxiety and motivation. Family help, public assistance, halfway house placement, and direct financial assistance can maintain parolees adequately until they are self-supporting. A number of studies have shown that releasing parolees with "reasonable assurance" of employment does not adversely affect recidivism rates, and that offenders do as well or better if they can find their own jobs.

**2-3169** The parole agency participates in programs that include provisions for graduated or partial release. (Important)

DISCUSSION: Sudden and direct release to the community after many years in a closed or maximum security institution can produce psychological shock in a releasee and may be a factor in a releasee's inability to adjust on parole. A few months in a minimum or open institution can help ease the transition to parole and

should be arranged if possible. Other partial release programs include work and study release and trial visits to family and community prior to parole. Another type of program that can achieve the same objective permits an extension of visiting privileges at the institution for the last few months prior to release. Such programs gradually reacquaint inmates with the issues, pressures and emotions they will encounter once paroled.

**2-3170 Written policy and procedure provide for staff recommendations to parole authorities for the advancement of parole dates in hardship or exceptional cases. (Important)**

**DISCUSSION:** Parole staff, following an appropriate investigation, should be able to recommend, and the paroling authority grant, advances in release dates in cases of hardship or exceptional merit. Hardship cases would include serious or terminal illness, imminent death, or death of a member of the inmate's immediate family. Cases of exceptional merit would include an outstanding prison adjustment beyond that normally expected, performance of a meritorious deed by the inmate, or existence of an unusual employment opportunity for which the inmate is especially qualified and which would not be available at the time of normal parole date. In addition to the parole officer's verification of the circumstances, the advance release should be consistent with the legal requirements of the case and not in conflict with detainers, pending disciplinary or medical action.

**2-3171 Written policy and procedure provide for parole officer approval of parolees' reasonable delays enroute to approved parole programs. (Important)**

**DISCUSSION:** Valid reasons for allowing an inmate a delay enroute to the approved parole program may become apparent to the parole officer during the conduct of the parole investigation. An individual may wish to visit family, recover clothing or tools, or take care of a legal matter at a location other than the parole location. The person best able to evaluate such situations is the parole officer conducting the preparole investigation, and his/her recommendation regarding such delays should be followed.

**2-3172 The agency provides funds and encourages the use of community residential centers to parole staff for prerelease programs and to parolees for crisis situations. (Important)**

**DISCUSSION:** Many newly released offenders need a place to live. For some, the small, privately-operated community residential center is extremely helpful. This type of transitional residence offers privacy with some structure and guidance, but without state authority. Where such facilities can be obtained on a contract basis, the agency budget should provide funds to purchase such services.

**2-3173 The initial personal contact between the newly released parolee and the field parole staff takes place as soon as possible, but not more than three work days after the parolee's release from custody, unless otherwise agreed upon prior to release. (Essential)**

**DISCUSSION:** Immediate contact between the newly released parolee and parole staff determines that the parolee did report to the designated program, emphasizes the importance of parole supervision as part of the individual's sentence, provides for immediate parole officer assistance if parts of the release program fail to

materialize, and provides the parolee an immediate contact or reference point in regard to the parole program.

**2-3174 Written policy and procedure provide that parole officers can use local detention only for alleged parole violations. (Essential)**

**DISCUSSION:** Placing a parolee in custody can be justified only when an alleged parole violation occurs and when either the seriousness of the violation or the danger of absconding is a factor. The circumstances under which a parole officer places a parolee in custody should be limited, and the time spent in custody should be kept to a minimum.

**2-3175 Time limits exist for the submission of parole violation reports. (Essential)**

**DISCUSSION:** Arrests and parole violations must be investigated and reported. Frequently, the parolee is in custody during this process. Although some parole violations require extensive investigation, deadlines should be established for the submission of the parole officer's final report of the violation. In no case should the violation report be submitted more than 30 calendar days after the alleged violation.

**2-3176 When statutes permit, supervision and delivery of services for mandatory releases are of the same quality as that provided parolees. (Essential)**

**DISCUSSION:** None.

**2-3177 The parole agency provides assistance and services to discharges who request such help. (Important)**

**DISCUSSION:** Persons discharged directly from prison or from parole often request assistance from the parole agency. The parole agency should make every effort to extend case services to discharges when such aid will promote a crime-free existence.

**2-3178 The field agency cooperates in providing information on the legitimacy of furlough requests. (Important)**

**DISCUSSION:** A correctional institution frequently needs help in investigating the legitimacy of a request for furlough and in supervising the inmate on furlough. The field parole officer should provide this assistance, and the parole agency should make adequate provision in its operations for this type of assistance.

**SUPERVISION—PROBATION AGENCIES ONLY**

**2-3179** The administrator of the probation field agency organizes and manages the investigation function to maintain both presentence and supervision services. (Essential)

**DISCUSSION:** Investigations and reports constitute a significant amount of probation activity. Where demands for investigations are great, it may be more efficient and effective to provide for a substructure within the organization to carry out this function. Where investigation requirements are minimal, consolidation of the investigation and supervision functions may be practical. There should be a logical, orderly, and expeditious work flow from receipt of the request for an investigation to delivery of the report to the court.

**2-3180** The priority assigned to the supervision function is equal to that assigned to the presentence investigation function. (Essential)

**DISCUSSION:** Supervision of the offender in the community is integral to effective probation. The probation administration should ensure that competing demands (e.g., presentence investigations and report deadlines) do not cause the relegation of supervision to a secondary function.

**2-3181** The supervision of misdemeanor offenders is governed by standards, policies and practices comparable to those available to felony offenders. (Important)

**DISCUSSION:** Misdemeanants placed on probation should receive the same priority and quality of service as those accorded felony probationers. The agencies responsible for felony probation also should have responsibility for misdemeanor probation.

**2-3182** The field agency has a written policy governing methods to be used in collecting the information essential in making recommendations of fines, restitution, family support and their amount(s) to the court. (Essential)

**DISCUSSION:** While the offender should not have to pay more than a reasonable cost, it is important that the victim be given the opportunity to present information relative to the value of the loss. Value should be verified and the victim should be told the method to be used. The victim should be informed about the offender's ability to pay and whether or not the money will be paid in small amounts over a long period of time or at a specific time.

**2-3183** Unless prohibited by statute, written policy and procedure preclude the requirement that probationers pay the cost of probation, but do not preclude the payment of court ordered restitution or court costs. (Important)

**DISCUSSION:** The costs of probation should be borne by the jurisdiction that established the probation agency.

**2-3184** A probation officer conducts an initial supervision interview with the probationer immediately after the individual is placed on probation. (Essential)

**DISCUSSION:** The conditions of probation and the supervision plan are explained to new probationers immediately because they will guide the probationers' continued freedom in the community. The first interview should emphasize that supervision is a condition of probation. The supervision plan should begin at this time and include, at a minimum, provisions for monitoring the conditions of probation, the establishment of a reporting schedule, and the offer of available community resources and development of additional resources, if required.

## PRESENTENCE INVESTIGATION AND REPORT

**2-3185** Written policy specifies that the primary purpose of the presentence report is to provide the sentencing court with timely, relevant and accurate data so that it may select the most appropriate sentencing alternative and correctional disposition; subject to this primary purpose, the report is prepared in a manner to serve the needs of any correctional institution or field agency which may receive the offender. (Essential)

**DISCUSSION:** The needs of the sentencing court must have first priority in preparing the format and content of the presentence report. But if and when the offender goes to an institution, the staff there, and later the parole authority, may have little or no background information on the offender except as found in the presentence report. Accordingly, it is vital to the interest of both the institution and the sentencing court for the presentence report to serve the institution and the parole authority if they in turn are to handle the offender appropriately and with due respect to the intent of the court.

**2-3186** The agency assigns the resources required to ensure the submission of investigation reports within three weeks for confined offenders and four weeks for offenders who are not confined. (Essential)

**DISCUSSION:** Sufficient staff, time, space and equipment should be assigned to all presentence functions. However, the resources assigned to the presentence investigation and report function should not adversely affect the delivery of other probation services. A presentence investigation and preparation of a report should not exceed four weeks in general, or three weeks for offenders in custody. These time frames, however, will vary depending on the nature of the offense, complexity of the offender's circumstances, possible dispositions, availability of prior reports, and necessity of delivering the report to the court in time for review and analysis.

**2-3187** Written policy and procedure govern the conduct of presentence investigations, preparation of reports, and provision of sentencing alternatives for the court. (Essential)

**DISCUSSION:** Written guidelines help ensure high quality investigations and reports, and minimal disparities in the provision of sentencing alternatives. The guidelines should be developed in collaboration with the court and reviewed regularly.

**2-3188** Policy and procedure provide for interviewing the victim when appropriate or possible. The information obtained is contained in the presentence report. (Important)

**DISCUSSION:** Interviewing the victim for the presentence investigation (victim impact statement) allows the victim to not only tell his story in his own words but also offers an opportunity for him to express his feelings about the disposition. At the same time the probation officer is given the opportunity to explain to the victim the offender's situation. For example, in some jurisdictions the victim and the offender are brought together in face to face confrontation with the probation officer acting as a mediator. At this time the amount of payment is determined and agreed upon by both parties.

**2-3189** The administrator of field services supervises and reviews, on a continuing basis, the conduct of presentence investigations, the preparation of reports, and the provision of sentencing alternatives for the court. (Essential)

**DISCUSSION:** None.

**2-3190** Written policy specifies that a presentence investigation is not conducted nor a presentence report prepared until the defendant has been adjudicated guilty of an offense, unless the defendant, on advice of counsel, has consented to allow the investigation to proceed before adjudication, and adequate precautions are taken to ensure that information disclosed during the presentence investigation does not come to the attention of the prosecution, the court or the jury prior to adjudication. (Essential)

**DISCUSSION:** While there are occasional and exceptional situations in which a short cut may be taken in the interest of both the court and the defendant, the basic rights of the defendant are ordinarily jeopardized if the investigative process is conducted before adjudication. Also, since a full account of the offense is an important element in a competent report, it is difficult for the probation officer to get the needed information in a case for which guilt has not been finally determined. If it does become necessary to conduct a preadjudication investigation, it is essential that the defendant's informed consent be given and that inadvertent premature disclosure of the report be conscientiously avoided.

**2-3191** Written policy and procedure permit the use of staff other than probation officers to collect information during the presentence investigation. (Essential)

**DISCUSSION:** Some of the data required for an investigation and the presentence report may be collected by nonprofessional staff (i.e., paraprofessionals, volunteers, students, clerical), thus freeing probation officers to use their skills for interpreting the data and developing a probation plan.

**2-3192** When probation is not prohibited by statute, a potential supervision plan is developed during the presentence investigation and included as part of the presentence report. (Essential)

**DISCUSSION:** It is necessary to ensure that, if probation is granted, a plan will be available on the first day of supervision. The plan should include such considerations as employment, residence, education, etc., and should be developed with the offender. To the degree possible, the probation officer who will supervise the probationer should participate in the development of this plan. The plan should be realistic in that both the goals set and the resources required are attainable.

**2-3193** Written policy and procedure provide that probation officers are to consider innovative sentencing alternatives in all cases in which incarceration is not clearly imperative for reasons of immediate public safety. (Essential)

**DISCUSSION:** The traditional dispositions in adult courts are probation, confinement in a local facility, or confinement in a state correctional institution. It is important to seek other alternatives that may permit a better balance between the dual needs of protecting the community and providing for the welfare of the defendant.

The appropriate time to search for alternatives is during the presentence investigation, and any feasible alternatives should be set forth in the presentence report. The use of alternatives such as halfway houses, detoxification centers, civil addict commitment programs, and self-help groups may be appropriate. Attention also should be given to finding resources that would permit use of individualized probation supervision programs if probation is ordered.

**2-3194** The probation agency can document efforts to promote the resources necessary to process a presentence report in every case in which there is a potential sentencing disposition involving incarceration for one year or longer, and in every case involving first offenders and minors. (Important)

**DISCUSSION:** As correctional institutions become more expensive and more crowded, it becomes especially important to ensure that incarceration is not resorted to in any case in which viable alternatives are available and appropriate. Minors and first offenders should be diverted from an institutional career whenever possible. The presentence report in such cases may have particular utility in outlining, when justified, feasible alternative plans.

**2-3195** Written policy and procedure govern the use of different presentence report formats to meet the specific needs of the courts and correctional agencies. (Important)

**DISCUSSION:** The establishment of standard formats to be used without deviation is an important contribution to quality control and efficiency in presentence report production. However, there may be proper reason to have more than one standard format to adapt efficiently to different types of cases while still avoiding uncontrolled variations from case to case. To this end the agency should collaborate with the courts to design a standard report format to be used for particular types of cases. As a basic principle, enough data should be collected and analyzed so that the most appropriate sentencing alternative may be selected to protect the community and serve the needs of the offender.

**2-3196** If probation is one of the sentencing alternatives, the probation officer identifies the need for special conditions of probation, if any, and recommends that these special conditions be appended to the general conditions of probation. (Essential)

**DISCUSSION:** In addition to those general conditions of probation which are applicable to all probationers, possible special conditions should be identified during the presentence investigation, recommended to the court, and appended to the general conditions by the court if it appears that these additional conditions will enhance public safety or increase the probability of a successful community adjustment. Special conditions should be few in number, realistic, and phrased in positive rather than negative terms.

**2-3197** When statutes permit, confinement, full or part-time, is part of a probation grant only in selected cases when circumstances clearly indicate the need for confinement as part of a prescribed program plan. (Important)

**DISCUSSION:** Confinement disrupts many aspects of life. As a condition of probation it should be discouraged unless it clearly will contribute to public safety or the likelihood of better community adjustment.

**2-3198** The presentence report is submitted to the court for review and evaluation a minimum of two working days in advance of the date set for sentencing. (Essential)

**DISCUSSION:** The court requires sufficient time to read and assess the document and perhaps discuss it with probation staff. A minimum of two full days is seen as essential for the court's review, but this generalized time frame must be adjusted to judicial schedules and workloads.

**2-3199** All presentence reports and recommendations are subject to review by a supervisor prior to submission to the court. (Essential)

**DISCUSSION:** Supervisory review of presentence reports and recommendations serves several purposes including the following: ensures that functions are being properly implemented in accordance with policy, objectives and procedures; helps to determine that the court will get the needed information in the correct format; ensures that each recommendation is reasonable and supported by the information provided; and, contributes to the training of personnel and the development of skills and knowledge.

**2-3200** Written policy and procedure protect the confidentiality of presentence reports and case records. (Essential)

**DISCUSSION:** The issue of confidentiality extends beyond the courtroom and should permeate the entire investigation and report process from receipt of the case for investigation through final destruction of documents. Information about cases should not be discussed openly, and files and records should not be left unattended or given to persons who do not have a proper and legitimate interest in the case. This principle is not to interfere with the sharing of the report with the defendant and his counsel wherever "disclosure" is recognized in law or court policy.

**2-3201** Written procedure provides for the prompt transmittal by the probation agency of presentence report data to institutional personnel when confinement of the adjudicated offender is ordered. (Essential)

**DISCUSSION:** In those instances in which the offender is ordered confined, presentence materials should be provided to the receiving institution to assist in its classification process. Written guidelines, developed in collaboration with agencies receiving committed offenders, should be available and cover such matters as method and timing of transmittal of documents. In consideration of vital institutional need, the agency should make every effort to deliver the presentence report to the institution at the same time that the offender is transferred there.

## CITIZEN INVOLVEMENT AND VOLUNTEERS

**2-3202** Written policy and procedure provide for securing volunteer citizen involvement in the programs, including roles as advisors, interpreters between the program and the public, direct service roles, and cooperative endeavors with offenders under supervision. (Important)

**DISCUSSION:** Probation/parole agencies should assign staff responsibility for promoting and maintaining volunteer citizen involvement in their programs. Citizen advisory committees should be formed to assist with various programs such as offender employment, and opportunities should be created for direct and continuing contact between individual citizens and offenders.

**2-3203** Written policy and procedure for volunteer citizen involvement include a system for selection, training, term of service, termination of service, and definition of tasks, responsibilities and authority for volunteers. (Essential)

**DISCUSSION:** The structure and goals of the volunteer program should be stated clearly so that the volunteer's experience will be productive and satisfying, and that problems and misunderstandings will be minimized. A period of orientation and training should be provided, followed by continuing supervision and guidance from designated staff.

**2-3204** Written policy and procedure call for the recruitment of volunteers from all cultural and socioeconomic segments of the community. (Important)

**DISCUSSION:** Volunteer contributions can be made in many ways, and a volunteer corps representative of a cross section of the community has much to contribute.

**2-3205** Written policy and procedure provide that, prior to assignment, each volunteer completes a documented orientation and training program to prepare for the proper execution of his/her assignment. (Essential)

**DISCUSSION:** An initial orientation session for long-term volunteers should address the history, policies, and regulations of the agency and should include an overview of the program so that the volunteers may develop a sense of their role in the program. The curriculum should include a description of the volunteers' duties, as well as a review of the needs, attitudes and life styles of the offender population. One-time or short-term volunteers may require less intensive orientation. All volunteers should receive a copy of the field agency's code of ethics.

**2-3206** Written policy and procedure specify that volunteers agree in writing to abide by all agency policies, particularly those relating to the security and confidentiality of information. (Essential)

**DISCUSSION:** Volunteers will be exposed to information about offenders and their background and, at times, to information about the agency and its operation. It is important that volunteers respect the confidentiality of offender information and other privileged information.

**2-3207** Written policy specifies that volunteers perform professional services only when certified or licensed to do so, or after a thorough check of background and professional education. (Essential)

**DISCUSSION:** Volunteers should not perform professional services without proper certification, examination or license. Volunteers offering professional services could be required to cite their credentials and/or certificate status in their initial application. Tutoring or sponsorship of a craft or hobby program is not considered a professional service.

**2-3208** The field agency administration or the parent agency provides against liability or tort claims in the form of insurance, signed waivers or other legal provisions valid in the jurisdiction in which the volunteer program is located. (Important)

**DISCUSSION:** The field agency administration should make provisions against liability or tort claims to protect the jurisdiction and the agency from legal proceedings and provide liability procedures for the volunteer program. These provisions are essential in avoiding potential legal entanglements and offer legal protections for the staff, volunteers and offenders under supervision.

## Glossary

### *Administrator of Field Services*

The person directly responsible for directing and controlling the operations of the adult probation and/or parole field services program. This person may be a division head in a large correctional agency, a chief probation officer answering to a judge, or the administrative officer of a court or parole authority with responsibility for the field services program.

### *Agency Administrator*

The head of the parent agency that houses or is responsible for the adult field services program; the director or commissioner of corrections under which the adult probation and/or parole field services are constituted; or the chairperson of the parole authority or the judge whose court administers probation.

### *Career Development Plan*

The planned sequence of promotions within an agency that contains provision for: 1) vertical movement throughout the entire range of a particular discipline; 2) horizontal movement encouraging lateral and promotional movement between disciplines; and 3) opportunity for all to compete for the position of head of the agency.

Additionally, career development plan may mean that progression along these three dimensions can occur as long as the candidate has the ambition, ability, and the required qualifications.

### *Detainer*

A warrant placed against a person in a federal, state or local correctional facility, notifying the holding authority of the intention of another jurisdiction to take custody of that individual when he or she is released.

### *Facility*

The actual physical setting in which a program or agency functions.

### *Field Agency*

The unit of a governing authority which has direct responsibility for the provision of field supervision services, and for the carrying out of policy as set by the governing authority.

### *Furlough*

Approved leave from a correctional institution.

### *Holidays*

All days legally designated as nonworkdays by statute or by the chief governing authority of a jurisdiction.

### *Information System*

The concepts, personnel and supporting technology for the collection, organization and delivery of information for administrative use. There are two such types of information: (1) standard information, consisting of the data required for operational control, such as the

daily count of individuals on probation or parole, payroll data in a personnel office, probation/parole success rates, and caseload levels in a parole or probation agency; (2) demand information, consisting of information which can be generated when a report is required, such as information on the number of probationers/parolees eligible for discharge during a twelve-month period by offense, sentence and month of release.

### *Interstate Compact for the Supervision of Probationers and Parolees*

An agreement entered into by eligible jurisdictions in the United States and its territories, except the District of Columbia and Guam. The Compact provides the means for these jurisdictions to function cooperatively in working with probationers and parolees.

### *Interstate Compact on Juveniles*

An agreement authorizing the interstate supervision of juvenile delinquents and the cooperative institutionalization of special types of delinquent juveniles, such as psychotics and defective delinquents. Forty-nine of 54 eligible jurisdictions have ratified this Compact.

### *National Uniform Parole Reports Systems*

A cooperative effort sponsored by the National Parole Institutes. This program calls for the voluntary cooperation of all federal and state authorities having responsibility for felony offenders in developing common terms to describe parolees—their age, sex and prior record—and common definitions to describe parole performance. These types of data allow for comparisons across states and other jurisdictions.

### *Parent Governmental Organization*

The administrative department or division to whom the agency seeking accreditation reports; it is the policy-setting body.

### *Parole Authority*

The decision-making body which has the responsibility to grant, deny and revoke parole. In some jurisdictions it is called the "Parole Board" or the "Parole Commission". The term parole authority is meant to include all of these various bodies.

### *Policy*

A policy is a course or line of action adopted and pursued by an agency which guides and determines present and future decisions and actions. Policies indicate the general course or direction of an organization, within which the activities of the personnel and units must operate. They are statements of guiding principles which should be followed in directing activities toward the attainment of objectives. Their attainment may lead to compliance with standards as well as compliance with the overall goals of the agency/system.

### *Procedure*

The detailed and sequential actions that must be executed to ensure that a policy is fully implemented. It is the method of performing an operation, or a manner of proceeding on a course of action. A procedure differs from a policy in that it directs action in a particular situation to perform a specific task within the guidelines of policy.

### *Training*

An organized, planned, and evaluated activity designed to achieve specific learning objectives. Training may occur on site, at an academy or training center, at an institution of

higher learning, through contract service, at professional meetings or through closely supervised on-the-job activities. Meetings of professional associations are considered training when there is clear evidence of the above elements.

*Volunteer*

Citizens from the community who donate their time and effort to enhance the activities of the program. They are selected on the basis of their skills or personal qualities to provide services in recreation, counseling, education, religious activities, etc.

**APPENDIX A**  
**Parallel Reference Table and New Weights**

First edition indicates standard number as it appeared in the first edition of the manual. The revised edition column indicates the number of the equivalent standard in the revised edition. The revised standard may have no change or only minor changes, or it may be revised or totally rewritten. The following symbols indicate the extent of change:

R	revised
N	replaced with new standard
None	no equivalent in first edition
no symbol	no substantial change in standard

The weights which are found in the revised edition are shown. A change in weight from the first edition is indicated with a "C".

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
<b>Administration, Organization and Management</b>			<b>Personnel</b>		
3003	2-3001	Essential	3041	2-3028	Essential
3004	2-3002	Essential	3042	2-3029	Essential
3006R, 3025R	2-3003	Essential	3043	2-3030	Important
3007	2-3004	Essential	3044R	2-3031	Essential
3008N, 3009N,			None	2-3032	Essential
3025N, 3028N	2-3005	Essential-C	3045	2-3033	Essential
3010N, 3020N	2-3006	Essential	3063	2-3034	Essential
3017	2-3007	Essential	None	2-3035	Essential
3098N	2-3008	Essential	3046	2-3036	Essential
3014	2-3009	Essential	3047N	2-3037	Essential
3097	2-3010	Essential	3051	2-3038	Important-C
3018N, 3035N	2-3011	Essential	None	2-3039	Essential
3100	2-3012	Essential	None	2-3040	Essential
3021R, 3026R	2-3013	Essential	3048R	2-3041	Important
3022N, 3023N	2-3014	Essential	3052R	2-3042	Essential-C
3029	2-3015	Essential	3053N	2-3043	Essential
3030	2-3016	Essential	None	2-3044	Important
3031	2-3017	Essential	3061R, 3062R	2-3045	Essential
3033	2-3018	Essential	3064R	2-3046	Important
3034R	2-3019	Essential	None	2-3047	Essential
3036	2-3020	Important	None	2-3048	Essential
3037	2-3021	Essential	3072R	2-3049	Essential
3038	2-3022	Essential	3001N	2-3050	Essential
None	2-3023	Essential	3070	2-3051	Essential
3005	2-3024	Essential	3002	2-3052	Essential
3013	2-3025	Essential	None	2-3053	Essential
3103	2-3026	Essential	3060R	2-3054	Essential
3111	2-3027	Important	3055	2-3055	Essential

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
3056R	2-3056	Essential	3092	2-3093	Important
3057	2-3057	Essential	3093	2-3094	Essential
3058R	2-3058	Essential	3094	2-3095	Important
Training and Staff Development					
None	2-3059	Essential	3104R, 3106R	2-3096	Essential
None	2-3060	Essential	3105	2-3097	Important
None	2-3061	Essential	None	2-3098	Essential
None	2-3062	Important	3107	2-3099	Essential-C
None	2-3063	Essential	3108	2-3100	Important
3102R	2-3064	Important	3109	2-3101	Essential
3065R	2-3065	Essential	3110	2-3102	Important
3066N	2-3066	Essential	3095	2-3103	Essential
None	2-3067	Essential	3096R	2-3104	Essential
3067	2-3068	Important	Supervision—Probation and Parole Agencies		
3068R	2-3069	Important-C	3112	2-3105	Essential
3069	2-3070	Important	3113	2-3106	Essential
None	2-3071	Mandatory	3027R	2-3107	Essential
None	2-3072	Essential	3114N, 3115N	2-3108	Essential
None	2-3073	Important	3116	2-3109	Essential
Fiscal Management					
3073	2-3074	Essential	3117R	2-3110	Essential
3074R, 3077R	2-3075	Essential	3139R	2-3111	Essential
3076	2-3076	Essential	3138R, 3140R	2-3112	Essential
None	2-3077	Essential	3122	2-3113	Essential
3075N	2-3078	Essential	3118R	2-3114	Important
3032	2-3079	Important	None	2-3115	Essential
None	2-3080	Essential	3119	2-3116	Important
3079N	2-3081	Essential	3120R	2-3117	Essential
3081N	2-3082	Essential	3121R	2-3118	Essential
None	2-3083	Essential	3123	2-3119	Essential
None	2-3084	Essential	3124R	2-3120	Important
None	2-3085	Essential	3125N	2-3121	Important
Case Records					
3082N, 3083N, 3086N	2-3086	Essential	3135	2-3122	Essential
3084	2-3087	Essential	3136	2-3123	Essential
3085	2-3088	Important	3145N, 3165N	2-3124	Essential
3087	2-3089	Essential	3088	2-3125	Essential
Management Information and Research					
3089	2-3090	Essential	3164	2-3126	Essential
3090	2-3091	Essential	3127	2-3127	Essential
3091	2-3092	Important	None	2-3128	Essential
			3128	2-3129	Essential
			3129	2-3130	Essential
			3130R	2-3131	Important
			None	2-3132	Important
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### AMERICAN CORRECTIONAL ASSOCIATION

*The American Correctional Association expects of its members unfailing honesty, respect for the dignity and individuality of human beings, and a commitment to professional and compassionate service. To this end we subscribe to the following principles.*

#### Relationships with clients/colleagues/other professions/the public—

- Members will respect and protect the civil and legal rights of all clients.
- Members will serve each case with appropriate concern for the client's welfare and with no purpose of personal gain.
- Relationships with colleagues will be of such character as to promote mutual respect within the profession and improvement of its quality of service.
- Statements critical of colleagues or their agencies will be made only as these are verifiable and constructive in purpose.
- Members will respect the importance of all elements of the criminal justice system and cultivate a professional cooperation with each segment.
- Subject to the client's rights of privacy, members will respect the public's right to know, and will share information with the public with openness and candor.
- Members will respect and protect the right of the public to be safeguarded from criminal activity.

#### Professional conduct/practices—

- No member will use his official position to secure privileges or advantages for himself.
- No member will act in his official capacity in any matter in which he has personal interest that could in the least degree impair his objectivity.
- No member will use his official position to promote any partisan political purposes.
- No member will accept any gift or favor of a nature to imply an obligation that is inconsistent with the free and objective exercise of his professional responsibilities.
- In any public statement members will clearly distinguish between those that are personal views and those that are statements and positions on behalf of an agency.
- Each member will be diligent in his responsibility to record and make available for review any and all case information which could contribute to sound decisions affecting a client or the public safety.
- Each member will report without reservation any corrupt or unethical behavior which could affect either a client or the integrity of the organization.
- Members will not discriminate against any client, employee or prospective employee on the basis of race, sex, creed or national origin.
- Each member will maintain the integrity of private information; he will neither seek personal data beyond that needed to perform his responsibilities, nor reveal case information to anyone not having proper professional use for such.
- Any member who is responsible for agency personnel actions will make all appointments, promotions or dismissals only on the basis of merit and not in furtherance of partisan political interests.

(Adopted August 1975 at the 105th Congress of Correction)

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**END**