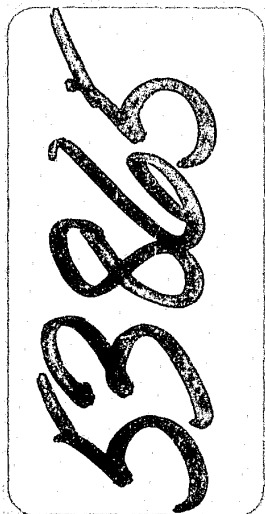


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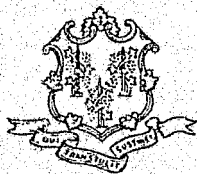
**assumptions  
&  
goals**



**DEPARTMENT OF CORRECTION**

**HARTFORD 06115**

JOHN R. MANSON  
COMMISSIONER



STATE OF CONNECTICUT  
ELLA T. GRASSO  
GOVERNOR

JANUARY, 1979

NCJRS

JAN 23 1977

**PHILOSOPHY: ACQUISITION  
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CONNECTICUT DEPARTMENT OF CORRECTION

HARTFORD 06115

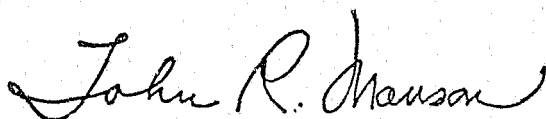
## PREFACE

The old saw, "If you don't know where you're going, you may end up somewhere else!" would seem to have peculiar significance for corrections in 1979 and the eighties. We have seen enormous changes over the past decade in the rules governing correctional practice and in the setting of standards for our work.

Now it is time for some stock-taking and reflection, time to set out our assumptions and goals in a philosophy that encompasses both our past failures and our future responsibilities.

In this latter category, we believe that public accountability for our work must be given a precedence that it has never had. Therefore, this statement gives considerable attention to the means of public reporting and the methods of fiscal accounting.

In disseminating this statement, we invite your comments and questions.

A handwritten signature in cursive script that reads "John R. Manson". The signature is fluid and elegant, with a large, sweeping "J" and "M".

John R. Manson  
Commissioner



## A STATEMENT OF PHILOSOPHY

Justice is a precious quality. Europeans have often likened it to a piece of gold that can be rolled out into many thin pieces without its essence being impaired. In the United States, this malleable character of justice has most frequently been taken advantage of in the creation of police, courts and corrections units that bear this golden essence of justice and serve as its instrumentalities.

In any case, corrections is at the end of the line, and yet in a functional position that places great reliance on its work. The police act to deter crime and apprehend offenders. When that work is performed, their role in the criminal justice system is accomplished. The judicial or court system faces more complex tasks, including the guarantee of constitutional rights to the offender, the determination of guilt or innocence, and, finally, for those adjudicated guilty, the difficult decision of corrective/punitive/deterrent sanctions to be imposed. These are not easy decisions and the slowness with which this element of the judicial process moves is often not so much a lack of speed but a deliberateness born of a need to consider many circumstances, many remedies, and, most fundamentally, many points of law.

It falls then to corrections to implement, within a context of justice, the orders of the court for each offender. Court orders over the centuries have shown enormous variation, with execution, mutilation, banishment, public ridicule, confinement and community supervision representing only the most general of categories. In this, the last quarter of the twentieth century, that reliance has been placed most frequently on confinement,

literally a term of months or years, and/or community supervision.

The history of confinement is not a long one, dating only from the 1770s, but it has frequently had the appearance of a method seeking a rationale. The original concept advanced by the Philadelphia Quakers was one of isolation to create an opportunity for reflection and penance. The non-functional character of that system moved state corrections into the realm of congregate work, both as an idea for reformation and institutional self-subsistence. The reform movement of the 1870s created a vast new building program for youthful first offenders, a change that would ostensibly segregate those new to crime and give them vocational skills for community reentry. As reformatories turned into new and essentially unrevised versions of state prisons, the motivating impetus was lost. Not until the 1920s did a new rationale arise. The beginnings of this era emphasized the psychological factors believed to undergird crime and introduced psychological methods into correctional reform - and that new word, "rehabilitation." The psychological approach used testing, diagnosis, remedial education and individual and group psychotherapy as the tools for effecting changes in offenders.

Much emphasis was placed on classification schemes for prisoners: the results of exhaustive diagnosis. Classification was believed to offer practical advantage of assessing dangerousness and such theoretical advantages as criminal prognoses.

Another advantage claimed by the psycho-

logical community was parole prediction. In form an actuarial report, this quantification was to offer parole boards informed guidance in determining parole decisions, despite the fact such predictions applied only to groups and not to individuals. To shore up this deficiency, "parole progress reports" were introduced and individual prisoners were assessed by caseworkers to determine "progress" in overcoming deficiencies.

This latter development gave enormous impetus to the development of correctional treatment programs. If a prisoner was educationally deficient, he/she should have opportunities to make progress in erasing this deficiency. If there were personality traits of "dependency" or "inadequacy", then individual or group counseling should be available to assist the individual in developing new personality traits. The child molester should be re-oriented to adult heterosexuality. The alcoholic check forger should be cured of his alcoholism.

All of this placed enormous burdens on the institution to change offender behavior and reflected a long-term philosophy of American faith in institutions as places of reformation.

The approach gave, too, the paroling authority an enhanced capacity to determine the "optimum" time of release, the ability to select a year from long-term indeterminate sentences (one-to-life, one-to-twenty years) in which prisoner achievement, prisoner attitudes and post-release prospects converged into an "ideal" time of release. Apart from any other considerations, it is clear that this "climate" for release increased enormously the anxiety level among pri-



soners and created a concomitant effort to delude parole board thinking. Institutional programs were enrolled in on an almost compulsory basis. At all costs the prisoner needed to demonstrate a facade of self improvement efforts if parole was to be obtained.

This fantasy world had to come to an end. It did in the 1960s when its follies were exposed and the grim statistics of recidivism came home to roost. Three generations of prisoners had been exposed to correctional treatment and "optimal" timing for release. But, as one scholarly report noted, there could be observed no significant difference between participants and non-participants in treatment programs that could be scientifically evaluated. Nor did length of confinement time contribute in any positive respect to success on parole.

Clearly, new realities are needed for corrections in the last quarter of the twentieth century. These realities need to be grounded in an understanding of past failures and in a sense of realistic mission for the future.

The understanding of recidivism is especially critical. Defined as a return to criminality, this form of failure has its roots in the traditional community causes of crime - deprivation, alienation, rejection of social controls - and in the nature of the correctional experience imposed. There are those who reject recidivism as an index for measuring correctional effectiveness, insisting that its causes are beyond the control of institutional experience. The situation is too complex; there are variables

not under control; criminality is sometimes a facet of delayed maturation. To admit to this denial though is to accept the denial of any correctional mission beyond custody and deprivation of liberty.

Other social institutions - schools, hospitals, and group homes - offer no guarantees of success but quickly acknowledge their records of improvement in the accomplishment of socially desirable ends. Such institutions sponsor research, institute experimental programs, reorganize services and assess results in the common cause of improving the quality of life in the communities to which their clients return. There is no reason corrections cannot do the same.

A baseline of behavioral expectancies, buttressed by continuing measures of outcome, should form the basis of correctional policy making. Consistent with prudent management of people and privileges, corrections should experiment, try the untried, and sponsor responsible inquiry into the etiology of recidivism. To take a single example: work-release experiences do not as presently organized apparently inoculate a man/woman against all further criminality, but they do, research indicates, delay the released offender in a return to criminality. Work release has many variables as designs and needs to be rigorously scrutinized to discover that plan which offers the most promise. To abandon it because its success rate is less than 100% and to climb aboard some other passing bandwagon would be to deny the need for progress, however slow in accretion, in this difficult phase of human behavior.

There are unquestionably programs outside corrections - national and state programs of

social amelioration, programs to insure equal opportunities to all citizens - which will in the long run have a greater impact on criminal recidivism. But these will eliminate only a certain percentage of criminal behavior, as will the best that a correctional system can offer. To point to the larger, greater effort is not to obscure the importance of correctional measures.

Corrections needs to demonstrate cost effective procedures that would represent part of its public accountability. So far, no system or single institution has attempted to do this. But utilizing modern accounting equipment and developing means to quantify services and products should put within the reach of any correctional unit the means of demonstrating their generation of monetary/work units at least equivalent to their budgets.

To take only a single example, the history of correctional industries presents an unfortunate tale of failure, mismanagement, inappropriate production choices, inadequate marketing and extremely limited achievement of vocational training objectives. There is, though, given the energy and talent to overhaul this system, no reason it could not achieve a smoothly functioning industrial process that would serve many of the material needs of state/local agencies and concurrently pay to its workers either incentive or prevailing wages. Thus the income generated would be redistributed to the employees for support to their families and/or their post-release starts in the community.

A second example could be found in the discussion earlier of community service. Where offenders perform public service, material or service gains that can be quantified accrue to the community. To utilize this there needs to be the tacit understanding that community service orders, with and without incarceration, are correctional means toward community restoration and need to be credited toward the total correctional output.

Within institutions there are several examples of activities that could be quantified and credited to correctional outputs. A common example is the prisoner performing work that otherwise would have to be performed by a civilian employee. Although some of these are mere housekeeping tasks, they represent nonetheless part of the total, potential costs of social investment in segregating offenders. In the absence of inmate assistant cooks, clerks, hospital aides and library helpers, it would be necessary for the state to hire employees to carry out this work. This is one of the many valid costs of corrections, and it is one that is now defrayed by utilizing men/women under sentence to perform work in maintaining their daily lives and their facilities. Again, these outputs could be quantified and added to the total correctional output.

Another example of institutional output that is often not accounted is to be found in enterprises such as the repair of school and library books and in the reconditioning of toys for distribution to children at Christmas. The expansion of such services would require only a small investment in materials and the initiative of staff. Again, quantification for accounting purposes.

An area that remains as yet unexplored in the criminal justice area is that of creating crime-free units. Most simply put, this requires the establishment of a base-line recidivism rate and then crediting (or debiting) a correctional institution for variations from this base line. Complex, but nonetheless possible, accounting procedures could produce dollar amounts for crime-free days in the community. The costs of crime in police, court and correctional expenditures are enormous even if the appraisal omits the factors of community disruption and citizen fear. The use of such measures would place enormous, but not entirely unfair, pressures on corrections to discover, develop and use procedures that created post-release crime-free days.

Safe custody might also be fitted into the equation. If a major purpose of corrections is the segregation of offenders from the community, success in accomplishing this objective should be credited as a quantified output. Citizen concerns are clearly with escapes and concomitant violence. This concern and its potential, real-life consequences ought to be measurable.

What is required then is a cost accounting of the total correctional bill to the state, including in such costs items such as institutional housekeeping and maintenance, as well as the dollar consequences of criminal recidivism. Only when this accounting is totalled and presented will the public and those who appropriate funds know the real cost to the state of correctional

activity. Output may then begin to be calculated. And, in an effort to meet a standard of public accountability that says corrections returns a dollar or more for every dollar appropriated, correctional leadership will have a clear mission to fulfill.

Obviously, the mission will need to be tempered by a number of factors - constitutional guarantees, humane standards, institutional safety, etc. - but these constraints need not spell insolvency for the system. A healthy community economy includes a number of persons who are school age, ill, unemployed and retired, and maintains these persons without impairing the self-sufficiency of the economy. Institutional and community corrections ought to be able to do likewise.

This statement of assumptions, principles and philosophy does not, of course, preclude the general subscription to other sets of goals and standards. In particular, note is taken of the Declaration of Principles of the National Prison Association (1870), the Wickersham Commission (1931), the United Nations Minimum Standards for the Treatment of Offenders (1955), the Joint Commission on Correctional Manpower and Training (1967), the National Advisory Commission on Criminal Justice Standards and Goals (1972), and the Commission on Accreditation of the American Correctional Association (1977). These statements of tenets and principles form a principal backdrop for the present statement.

The United Nations Minimum Standards were adopted by the Connecticut Department of Correction in November 1974, and serve as a prologue to the Department's Administrative Dir-

ectives. The Department is currently participating in the self-assessment phase of the procedures of the Commission on Accreditation and hopes to achieve Candidate Status in early 1979.

### ASSUMPTIONS

The landscape of criminal justice is studded with assumptions about the nature of crime, the nature of the offender, the nature and conditions of sanctions to be imposed, and the nature of the correctional task. It remains to the development of a correctional philosophy to choose among these assumptions in evolving a statement of public philosophy.

The listing of assumptions that follows is not meant to be exhaustive but rather is to represent those factors in the current situation that are relevant to the philosophy being articulated. No doubt others could and should be added. An assumption is, of course, just what it says: an assumed fact that can reasonably be derived or interpreted from evidence at hand.

1. That the crimes of some offenders create such grievous disruption and serious apprehension in the community that institutional incarceration is the only immediate alternative.

2. That dangerousness of behavioral components now constitutes the single most important criterion in decisions to incarcerate felons. This criterion would be followed by deterrent example, punishment and reformation/treatment.

3. That the use of pretrial diversion and alternatives to sentences of incarceration is increasing steadily, and, despite some sharp upward turns in the numbers confined, there should be a long term decline in the use of institutionalization.

4. That the birth curve for those young people in age categories most at risk will begin a significant decline in 1982. This fact has important implication for correctional building plans.

5. That institutionalization may in the absence of constructive programming create and exacerbate the very qualities it seeks to reform.

6. In that criminal offenders represent in the main men and women of physical and mental competence, the management of these human resources and energies should provide a self-sufficient micro-economy.

7. That the level of criminal and correctional research is exceptionally deficient and that budgetary provision should be made for evaluative, cost-effective studies on a continuing basis,

8. That computerized record keeping and accounting services now available enable an effective approach to the measurement of many phenomena, including institutional costs, industrial productions, recidivism and other areas related to correctional services.

9. That corrections describes a body of practices, including institutional detention, fines, socially redemptive community service



and supervision in community settings. While all of these practices may not be embodied in a single agency, they all need recognition and respect as means to correct criminal behavior.

10. That there is nothing in the processes of adjudication or correction which makes efficient or desirable the withdrawal of respect from prisoners. Institutional daily operations and special programs should enable the development of individual self-esteem as a mechanism for encouraging positive forms of behavior.

11. That institutional custody be imposed only to the minimum degree necessary to prevent escapes and maintain safety within the facility. A classification scheme developed with clear and measurable criterion points should enable the intelligent classification of each prisoner.

12. That definite sentences imposed on a statutory basis with only a narrow range of judicial discretion offer the best opportunity to create a correctional community based on a sense of justice and a clear opportunity to plan with certainty toward release.

13. That corrections as a matter of policy ought to administer institutional services so that prisoners do not just survive but flourish in an atmosphere that enables and encourages positive contributions to the community.

14. That if institutional self-help programs are to assist in the process of correction, participation by prisoners should be voluntary and without prejudice to their subsequent release.

15. That educational experiences offer to all prisoners a constructive use of time and ought to be a major consideration for full or part-time election.

16. That the public has an inherent right to know the policies and procedures of institutions, and this right should be facilitated by official visitations, media reports and the free flow of correspondence between prisoners and the community.

17. That the world of scholarship and research has special needs vis-a-vis institutions and their populations. These needs should be satisfied consistent with informed opinion as to rights of privacy, personal safety and good order.

18. That many institutional services including provision of food, clothing, housing, religious exercises, health services and continuing educational opportunities represent aspects of evolving socio-economic standards for all citizens, including prisoners.

19. That prisoners have, in common with other elements of the community, legal and other problems which require resources and mechanisms for solution while in confinement.

20. That constitutional rights of offenders are not relinquished on commitment and that institutional resources, facilities, purposes and staff should create an atmosphere in which these rights are enjoyed in full, contingent only on factors of institutional safety.

21. That the means of treatment to effect rehabilitation are not known in any extensive

degree and that confinement contingent on such treatment is irrelevant and without redeeming social purpose.

22. That individuals arrested and held in pretrial custody are to be regarded as innocent and accorded citizen rights not inconsistent with the order of confinement.

23. That the pretrial period ought to be a constructive interval in which the accused can confer with his attorney, communicate with family members and find scope for the opportunity to defend himself. The detaining institution ought to facilitate these opportunities.

24. That among the enumerated rights of prisoners should be creative outlets in a multiple of forms and that such expressions should be marketable within the free economy.

25. That some prisoners are mentally impaired so that treatment and transfer resources ought to be continuously available.

26. That prisoners' families represent important elements in the equation of crime and community reentry, and that prisoners ought to be free to reinforce through legitimate means the bonds of marriage and/or parenthood.

27. That first-line correctional officers play critical and pivotal roles in the influence and treatment of prisoners, and that this fact should be recognized in a growing program of staff training and development. Specialized training opportunities should be available to staff with special responsibilities.

28. That all prisoners, pretrial and adjudicated, need constructive outlets for their affective emotions, and that these emotions can be satisfied only in an institutional environment that provides for achievement, recognition, friendship and reasonable expectation of pre-release and release opportunities.

29. That the management of correctional institutions is a complex undertaking and can be accomplished only by the application of scientific and sophisticated management procedures.

30. That correctional institutions with a high density of population and a limited array of life choices breed violence and explosiveness. Disturbance of the equilibrium is part of the inherent ecology and can be changed only by the alteration of some basic features.

31. That correctional institutions, in common with other institutions, fall easily into inertia, resistance to change, and loss of any rational social purpose.

32. That prisons should be humane institutions. The real problem facing prisoners is the affirmation of their humanity - to be exposed and stimulated within the prison environment to opportunities to make self-presentations as members of a constructive community is the humane goal.

33. That a department of correction cannot meet all of the correctional needs present in contemporary situations. The assistance of sister agencies, private organizations and volunteers needs to be diligently pursued.

34. That men and women personnel of widely divergent ethnic heritages, social experiences and

personal capabilities can all make significant contributions to the correctional task and deserve employment consideration.

## GOALS

1. The creation of a centralized authority and resource base for the overall direction of a comprehensive correctional program.

2. The creation of rational, safe custody programs which serve both to protect the public (from escapes) and the inmate and staff populaces (from disturbances and violence).

3. The planning and implementation of a state-wide building program which would replace deteriorating, outmoded facilities and, simultaneously, enable a new community based approach to pre-release preparation of releasees.

4. The organization of a set of carefully structured community release options (work release, study release, and furloughs) that enable the smooth transition of prisoners to release status.

5. The establishment of a private, contracted service delivery system, consisting of halfway houses, group homes, employment and counseling services, which augments parole services and encourages a private sector criminal justice constituency.

6. The development of comprehensive institutional offender programs which include educational and vocational remedial opportunities, drug abuse and alcoholism treat-

ment, and mental and physical health programs aimed at overcoming specific disabilities.

7. The development of comprehensive programs which upgrade staff capabilities to work effectively in an increasingly complex correctional system.

8. The reduction of the overall number of offenders for whom institutional confinement is the only option, with particular emphasis on pretrial detainees, youthful offenders, women, and parolees in temporary crisis situations.

9. The modernization of departmental record and information systems, including program research and evaluation, which will enable more rational and intelligent approaches to administrative planning.

10. The reduction of recidivism, both in the overall rate of renewed criminal activity and in the seriousness of recidivating acts.

11. The development of an increasingly effective and efficient utilization of state funds and human resources for operations consistent with the Department's mission.

12. The defusing of institutional tension through the provision of in-house and external, independent machinery for the resolution of individual inmate grievances.

13. The reformation of industrial work programs to increase economic incentives, to expand market development, and to teach the work ethic of the external community.

14. The creation of an internal capability to plan realistically and rationally for future correctional activity.

15. The provision through underlying personnel policies of a broad staff representation from the total Connecticut community, including the employment of minorities and women.

16. The development of an increasingly effective and efficient utilization of state and other funds within a cost-accounting, production-output plan that would place corrections on a dollar returned for dollar spent plan.

17. The creation of institutional atmospheres in which there is scope for enhancing prisoner self-esteem through a range of exposures, participations and achievements in and without the correctional community.

18. The establishment of institutional programs, other than those fundamental to daily operations such as work programs, on a wholly voluntary and freely-elected basis and without prejudice to subsequent release.

19. The creation of procedures, resources, and mechanisms for administering correctional programs of court-ordered community service.

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**END**