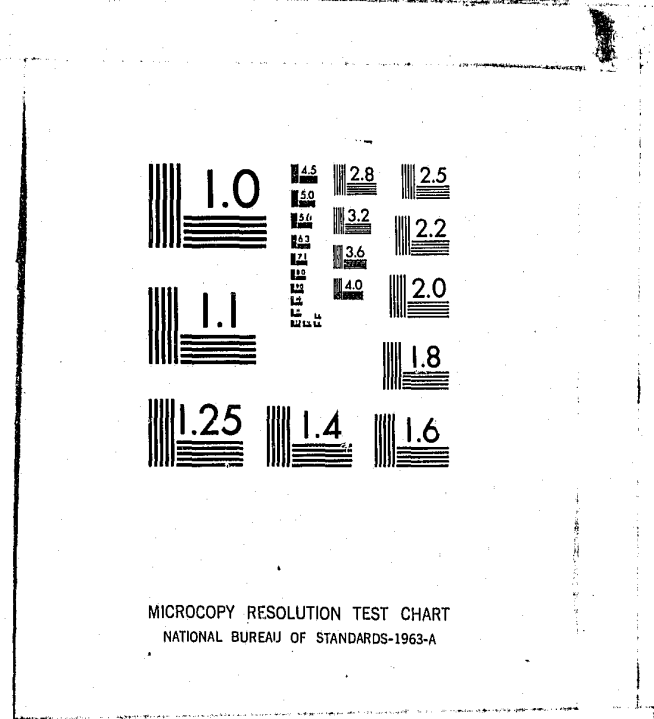


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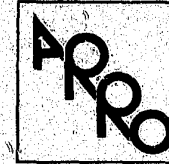
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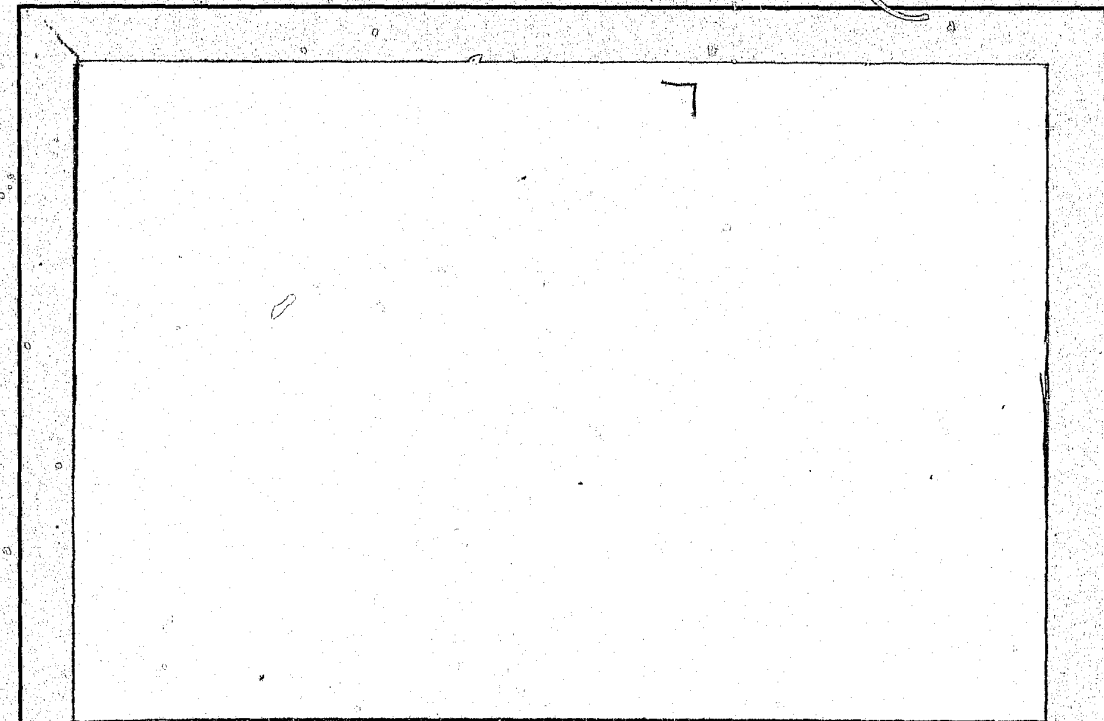
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NATIONAL EVALUATION PROGRAM PHASE I
ASSESSMENT OF CORRECTIONAL PERSONNEL TRAINING PROGRAMS
VOLUME 2. CORRECTIONAL PERSONNEL TRAINING--
CONCEPTUAL AND EMPIRICAL ISSUES

Howard C. Olson
Merri-Ann Cooper
Albert S. Glickman
Robert Johnson
Shelley J. Price
Ronald I. Weiner

Technical Report

March 1980

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Prepared under contract to the
Office of Program Evaluation,
National Institute for Law
Enforcement and Criminal Justice,
Law Enforcement Assistance
Administration

Contract No. J-LEAA-023-78

This project is being supported by Contract #J-LEAA-023-78 awarded by the Law Enforcement Assistance Administration, U.S. Department of Justice, under the Omnibus Crime Control and Safe Streets Act of 1968, as amended. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.

Advanced Research Resources Organization

March 1980

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PREFACE

This Phase I report deals with the state-of-the-art of training of correctional personnel. On the basis of the knowledge gained by way of visits to 17 correction agencies across the nation, a questionnaire mailed to a national sample of corrections agencies, plus review of literature dealing with the field of program evaluation, evaluation models appropriate to correctional personnel training have been generated and documented. The models are intended to be general techniques that an agency may apply to its own training programs without the aid of additional evaluation experts. The Phase II plan for demonstrating the models is outlined.

The report is organized as 12 chapters and published in 4 volumes:

<u>Volume</u>	<u>Chapters</u>	<u>Title</u>
1	I	Executive Summary
2	II - IX	Correctional Personnel Training-- Conceptual and Empirical Issues
3	X - XII	Evaluation Issues and Strategies
4	-	Appendixes

ACKNOWLEDGEMENTS

Many persons other than the ARRO project staff have contributed significantly to the project. Among others, Mr. Thomas Rosazza of the Maryland Training Academy, Lieutenant Jeffrey Paskow of the Montgomery County (MD) Training Academy, and Corporal Robert Strickland of the Fairfax County (VA) Jail gave of their time and expertise to assist in the development and pretest of the interview guides and questionnaire used in the national survey of correctional personnel training.

Our hosts at the various training sites visited were outstanding in their cooperation, reception of team members, and support for the project. Training directors and their staffs spent much time sharing with us their experience with and knowledge of the training process.

Those who responded in the national survey demonstrated genuine concern and conscientious efforts to provide the information requested. Without the interest and assistance of the many individuals involved in the training of correctional personnel, the goals of the first phase of this project could not have been accomplished.

The government project monitors, Dr. Harold Holzman, succeeded in December 1979 by Dr. Richard Laymon, have created the climate for an excellent working relationship with the Law Enforcement Assistance Administration. They have been understanding and supportive, providing valuable comments and guidance throughout.

Several former members of the ARRO staff contributed significantly to the project. Dr. Jeffrey Kane constructed the original conceptual models of a generic training system. Ms. Nancy Yedlin assisted in project management, participated in many site visits, and helped draw out site visit findings. Ms. Sharyn Mallamad organized site visits and developed initial versions of the evaluation strategy proposed. Special recognition is due Ms. Patti Vernacchio for her outstanding secretarial talents, organizational abilities, and high enthusiasm and drive throughout the project.

CHAPTER II INTRODUCTION

OBJECTIVES OF THE PROJECT

General Objectives

Among the objectives of the LEAA National Evaluation Program are an assessment of training programs for correctional personnel--effectiveness and comprehensiveness of training programs in attaining their goals, the cost/benefit of the programs and projects, and the efficiency with which training programs and projects are implemented and carried out. The present research effort undertakes to accomplish the following:

- Accumulate knowledge concerning the operation of training programs for correctional personnel.
- Identify gaps in knowledge concerning training of correctional personnel.
- Establish the estimated costs and expected benefits associated with offering different training programs and/or with using alternative training models and methods.
- Develop and carry out feasibility testing of evaluation designs to address knowledge gaps concerning training offerings and training delivery.

Phase I Objectives

Conduct site visits to a variety of correctional units or agencies, and prepare (making use of site visit information) a survey questionnaire for distribution to some 1,000 correctional facilities across the nation. Drawing from these sources of information, the initial assessment (Phase I) of correctional personnel training programs sought to:

- Identify and review pertinent training evaluation efforts.
- Describe various types of training programs offered by state and local governments for different types of correctional personnel.

- Examine the nature of these programs in terms of length, curricula, selection of trainees, instructional techniques, and training objectives.
- Identify gaps and opportunities in preprofessional, pre-service, in-service, midlevel management, and specialized training.

The foregoing provide a basis for recommendations to improve national, state, and local training efforts, and to develop training program standards and guidelines for program evaluation and development.

Ultimately, five principal products emanate from Phase I:

- 1) An Instructional System Operations Model, providing a flow diagram that depicts the major categories of activities undertaken in the development and implementation of training projects.
- 2) An Instructional System Evaluation Model that deals with either formative or summative evaluations of training project operations in order to assess individual or cumulative aspects of effectiveness.
- 3) A Correctional Issues Model that provides a policy and program context for the two preceding models.
- 4) A review of what is known about training of correctional personnel and what additional information needs to be learned.
- 5) A design for Phase II of the project.

Phase II Objectives

In Phase II, observations made during the site visits and information from the national survey are used to refine the Instructional System Operations Model and the Instructional System Evaluation Model, so as to make them fit a wide range of correctional training programs in a wide range of training environments. This is then to be followed by a test of the applicability of the models in a new set of field settings.

The design for Phase II of the project is described in Chapter XI. It includes:

- Discussion of the sites at which it is proposed that the evaluation models developed in Phase I be demonstrated.
- Description of the methodology for the demonstrations.
- Description of a proposed procedure for assessing the effects and value of the evaluation model proposed.

PROJECT PLAN

The project consists of five principal components: (1) development of generic conceptual models for training program development and evaluation, (2) observation of the state-of-the-art of correctional personnel training through site visits to training programs, (3) conduct of a national mail, questionnaire survey to correctional personnel training, (4) refine the conceptual correctional training program and evaluation models on the basis of site visit and national survey information, and (5) an operational demonstration of how the models can be used. The chronology of implementing steps is as follows:

- Development of conceptual models--October to December 1978
Preliminary Report--December 1978
- Site visits--January to April 1979
Interim Phase I Report--May 1979
Seminar on progress--May 1979
- National survey--June to October 1979
- Revision of conceptual models--July to October 1979
Phase I Final Report--December 1979
Seminar on progress--January 1979
- Phase II evaluation model demonstration--December 1979 to February 1980
Phase II Final Report--March 1980

Development of Conceptual Models

There appears to be a critical need for basic developmental and operational training concepts in the field of corrections. The prevailing condition in the field is a lack of consistency of theory and/or practice applied to training content and method. The present state-of-the-art, in education and psychology, in corrections theory, in organization and management, and in policy and planning, does not appear to have been exploited to advantage.

Three models were developed--a generic process model, dealing with the steps in assembling a valid training program; another, a cursory evaluation model, dealing with steps in evaluating a training program; and finally, an issues model, that highlights the political, environmental, and social influences upon training and training evaluation. The models guided our site visit discussions and were the foundation for the mail-out questionnaire. They are described more fully in the next chapter.

Site Visits to Observe Training

To get firsthand knowledge of correctional personnel training, project members--in teams of two or three persons--made visits of 2 to 3 days to 17 agencies that conducted or evaluated corrections training. The 17 agencies made up a full range of corrections concerns--adult and juvenile offenders, maximum security to halfway houses, probation and parole activities, regional training academies, and specialized training in such areas as hostage control, arbitration, and crisis intervention. The site visits gave additional direction to the formulation of the survey questionnaire, especially with respect to the values and issues that influence training. Results of the site visits are described more fully in Chapter V; site visit reports will be found in Appendix A.

Survey of Correctional Agencies

A 22-page questionnaire was developed to secure information about correctional personnel training from administrators in all manner of corrections agencies, nationwide. The sampling of 1,168 was drawn from the 1979 American Correctional Association Directory and the 1976 National

Council on Crime and Delinquency Directory of Probation and Parole agencies. The sample included essentially all corrections agencies of appreciable size in every State and the District of Columbia.

The questionnaire is described in Chapter VII, survey findings are reported in Chapter VIII. The questionnaire itself can be seen in Appendix C.

Revision of Conceptual Models

The conceptual models developed early in the project served the purpose of depicting an ideal view of how a training program ought to function in an optimum training environment. Of course, this never happens, but it does serve as a standard against which programs can be judged. We found some important and consistent departures from the ideal models, which we will discuss later in the report. We have attempted to modify the original conceptual models to accommodate actually existing correctional system and environment characteristics without sacrifice of the integrity of the concept. These changes to the models are discussed in preliminary fashion in Chapter IX, and more completely in Chapter XI. The demonstration application of the revised models (Phase II of the project) is discussed in Chapter XII.

PHILOSOPHICAL/PSYCHOLOGICAL ORIENTATION

Our philosophical and psychological orientation has strongly influenced the approach taken in the present research effort; particularly, as reflected in a sharing of roles and values among ARRO researchers and our contacts in the field.

Indications of Model Utility

Early in the project, the staff discussions out of which our conceptual models emerged achieved the crucial objective of contributing to a common grasp of the purposes and procedures of this project. As in most applied research efforts, a bridge needs to be built to carry the researchers from the speculations inherent in the proposal-writing stage to the conditions encountered when initial explorations of the

operational setting uncover more of the actual conditions that exist. Also at that early stage, the different members of the research team and its sponsors embark upon the study with a variety of viewpoints that have to be sculpted around a core consensus.

The training process conceptual model (Instructional System Operations Model) has been very helpful in conveying to the people with whom we have been in contact the purpose of the NEP project and the approach we are taking. We have found that by "walking through" the first half-dozen steps of the Instructional System Operations Model with them, an understanding is rather easily reached of "where we are" and "where we want to go." This has served to facilitate acceptance of the research and to elicit meaningful questions and worthwhile information and suggestions, as well as to enable visualization of how the research outcomes may become practically useful.

Current Orientation of Research

Out of the model building, exploratory discussions, reading of the literature, and site visit contacts, an increasingly meaningful orientation of our research approach has been evolved. We have affirmed that given current conditions of personnel training in corrections, the accent has to be more upon the use of formative evaluation in the context of the training process, and less upon summative evaluation of ultimate outcomes. Practical and theoretical considerations argue that there is more to gain in creating and achieving training project changes from an approach that provides appraisal and feedback at several steps of a training project--rather than an approach that attempts to relate a host of variables, interacting with and moderating the effects of other measures obtained at other times, plus input at several different stages of training, to a single ultimate criterion of effectiveness.

Apart from the technical and statistical factors backing this position, there are considerations affecting the acceptance and the eventual chances of adoption of the methods and recommendations generated by this research project.

One critical factor in this regard is the difference between the objective definition given to "evaluation" by those who approach the problem as a technical matter of measurement, and the subjective meaning that is attributed to "evaluation" by those who see themselves as its "targets." Glickman (1955) has posed the rather classic dilemma: "Can an evaluation procedure have the laudable purpose of providing a completely "fair" judgment, through carrying out rationalization and objectification of the...procedure to an almost ultimate point, and not at the same time create attitudes tending to undermine the satisfactions... with the procedure, due to the very impersonalization required to provide maximum objectivity." As Campbell (1953) has suggested, an obviously inadequate evaluation system provides more refuge for those who feel threatened than one that is inexorably accurate. A perfect system gives neither management nor employees a place to hide.

Without the "advice and consent" of the training administrators and trainers, who are the target population, the most elegant and sophisticated evaluation design will not work. It is disingenuous to maintain that in the real world of work there are many participants who will collaborate in an effort to put themselves at a disadvantage. The prospective "victims" have at their disposal ready means to subvert the system whenever they fail to see how an evaluation can be used to their advantage. Too many evaluation projects are perceived as being conducted for the principal advantage of disembodied "others." Furthermore, as the size of an organization grows, so does the tendency to depersonalize the evaluation procedure.

Realization of these "truths" does not have to be equated with cynicism. Rather, it should pose a positive challenge to construct an evaluation process that can engage the interest and support of those responsible for training programs by offering a quid pro quo--by making apparent the personal credit they can earn, and the advantages they can professionally gain from well executed assessment of the projects for which they are responsible; to assist them in remedying deficiencies and capitalizing on assets in order to achieve their goals within the organization.

Therefore, we have tried to create an orientation in which those affected can see themselves as direct participants and beneficiaries of the evaluation process. This, it is our view, should be a process that can provide them with prompt feedback of judgment and knowledge of results keyed to subgoals and objectives, insofar as possible, at almost every step in the training process--from the identification of the personnel to be trained, through the design and conduct of training operations, to the final assessment of results upon completion of a project. In this way, the individuals responsible can be continually provided with timely information that they can use to help determine where they want to go, what are the alternative paths that are available to get them there, what are the facilitating factors and the hindering obstacles that lie along each path, what gaps are apparent as the conceptual and operational itinerary is mapped out, and which route offers greatest promise of success.

CHAPTER III CONCEPTUAL MODELS BEARING ON TRAINING

INTRODUCTION

The conceptual models to assess training program development and evaluate effectiveness are stylized, idealized, deductive ways for examining training. The models address issues of two general types--exogenous and endogenous issues--in the context of two different kinds of evaluation--formative and summative evaluation.

Exogenous issues refer to concerns arising from the social, political, and a management context in which an instructional system is imbedded. Endogenous issues refer to concerns arising in connection with the technical challenges to imparting knowledge or conducting an evaluation in a specific situation--the internal operational details of a training program. The distinction between formative and summative evaluation reduces essentially to when in the evaluation process the examination is made, and what the objective of the evaluation is. Formative evaluation is concerned with examination of the program process, usually as the program is ongoing, to effect changes designed to improve it. Summative evaluation is concerned with the ultimate effectiveness of the program.

In the description and discussions of our conceptual models, there will be references to these issues and evaluation concerns. The relative emphasis on exogenous and endogenous issues, in the two kinds of evaluation, approximates Figure III-1 as shown below:

		Issues	
		Exogenous	Endogenous
Type of Evaluation	Formative	Less	More
	Summative	More	Less

Figure III-1. Relative Emphasis on Issues in Various Kinds of Evaluation

That is, formative evaluation is more concerned with endogenous issues, and summative evaluation is more concerned with exogenous issues. Before discussing, in detail, how the issues relate to evaluation, we need to describe the ideal model.

INSTRUCTIONAL SYSTEM OPERATIONS MODEL

The model shown in Figure III-2 depicts our conceptualization of the training process, beginning with the focusing of concern upon a particular job population's performance, and ending with the outcomes of the effort to close performance gaps through training. The intervening components of the model are self-explanatory. It should be noted, however, that many of the activities that the model incorporates may be undertaken either explicitly or implicitly, depending upon the degree of rigor employed in developing and implementing an instructional system. The mere fact that the issues subsumed by a component of a model were dealt with at an implicit or tacit levels does not remove the necessity of determining how they are handled in order to achieve a full understanding of a given instructional system.

The Instructional System Operations Model is a model for formative evaluation. Formative evaluation is directly linked to good program planning. An objective of formative evaluation is to provide feedback to the program managers during the conduct of the program, so that the program can be improved as it goes along. In formative evaluation the processes and procedures used are being examined as they occur to assure their efficiency and effectiveness in the conduct of the program. They are less likely to be submerged and lost sight of than where some ultimate criterion of program effectiveness is an exclusive and dominant theme. It is possible for formative evaluation to take place after a program is concluded, provided that the details of the operation of the program are available; but usually this is less satisfactory due to loss of data, or loss or distortion of memory as time passes.

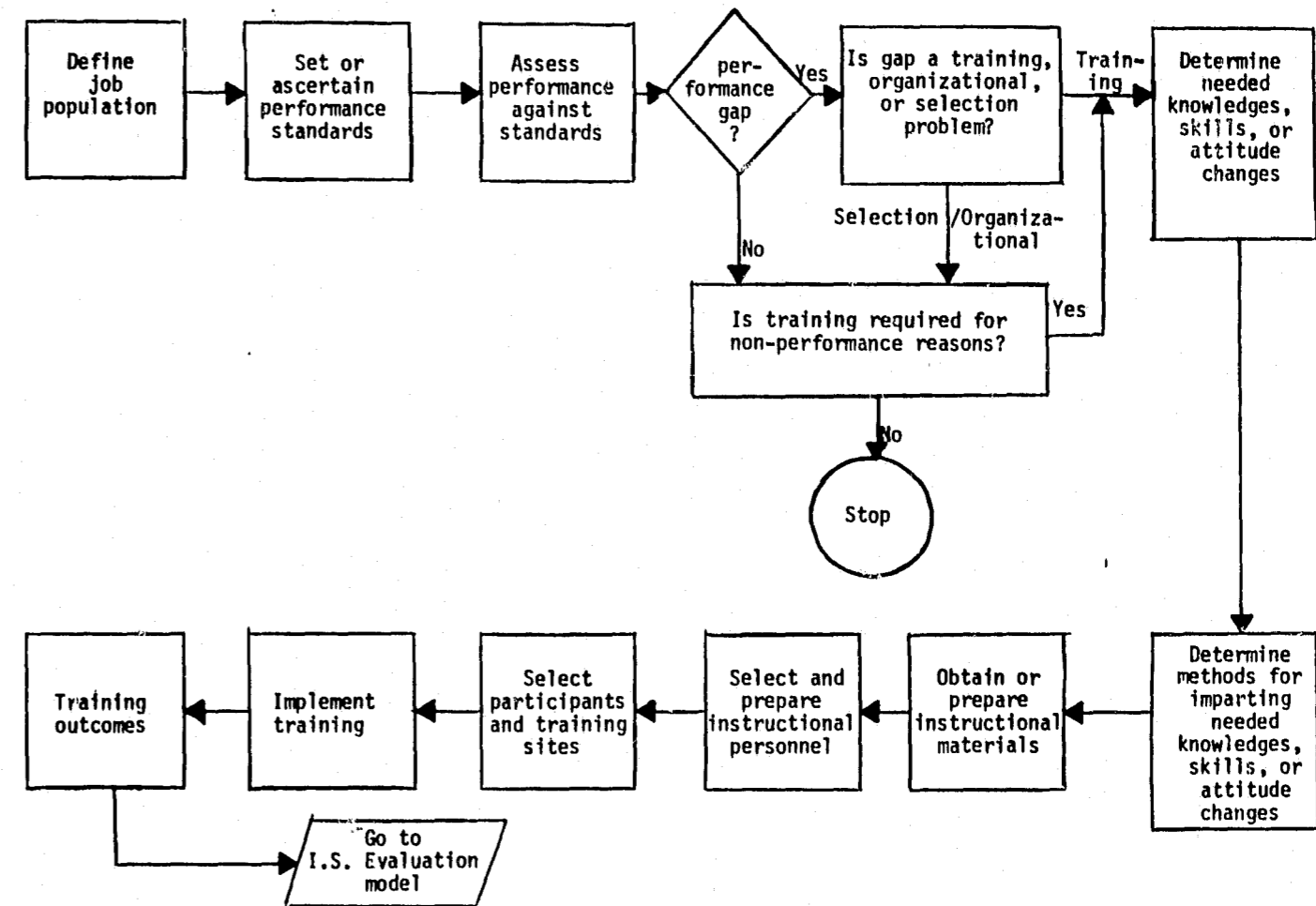


Figure III-2. Instructional System Operations Model

We view program changes in the manner described by Edwards, Guttentag, and Snapper (1975):

As a program progresses, at least four kinds of changes occur. First, the values of both those served by the program and the program people change, both in response to experience with the program and in response to other, external causes. Second, the program evolves, changes shape and character. Third, the external societal circumstances to which the program is a response change. And fourth, knowledge of program events and consequences accumulates. All four of these kinds of changes affect the answer to the decision problem, and all four are continuous.

In our view, the ideal evaluation technique would be equally continuous. It would assess program merit continuously, taking into account all four kinds of changes, and would permit exploration of the merits of alternative programs that could be had by changing this one, whether the changes were great or small (pp. 145-146).

Exogenous Issues Impinging Upon Training

Let us consider how exogenous issues--the outside influences--may impact upon the training process. In line with the Instructional System Operations Model (Figure III-2), we ask questions that help to formulate the principal issues:

(1) Define job population.

What is the educational level/trainability of available manpower?

(2) Set or ascertain performance standards.

- (a) Is there professional agreement and consensus on what standards should be?
- (b) Is there a policy-making body given the task of setting basic performance expectations and standards?
- (c) Has the organization clearly stated and made easily accessible a set of standards for worker performance?
- (d) Are standards realistic/compatible with abilities and tasks of the worker?
- (e) Are standards causing a conflict of roles for the worker?

(f) Do social systems within the organization support or undermine the standards?

(3) Assess performance against standards.

- (a) Are there political ramifications (e.g., withdrawal of funds) as a result of performance flaws?
- (b) Is the organization resistant to assessment of performance?
- (c) Do workers view performance assessment as a threat, or a tool for feedback and improvement?

(4) Determine performance gaps.

Do organizational administrators and line personnel share the same goals and ideas of whether tasks and functions have been properly achieved?

(5) Determine whether gaps represent training, organizational, or selection problems.

- (a) Are appointments and promotions made on a political basis?
- (j) Are there formal or informal social systems existing among organizational groups which interfere with performance?
- (c) How good is interdepartmental communication?
- (d) What type and quality of communication exists between different levels of organizational personnel?
- (e) Is there sufficient manpower to achieve goals?

(6) Determine if training may be required for nonperformance reasons.

Is the determination of need for training based on a set of specified assumptions? Or is training offered as a response to some political or social pressure or crisis?

(7) Determine needed knowledges, skills, and attitude changes.

- (a) Is there a consistent, agreed upon body of theory providing a basis for choice of changes in knowledge, skills, and attitudes?
- (b) Do professionals agree on the content of the training program; i.e., choice of skills, techniques, methods to be taught?

- (c) Are system-wide and agency goals defined and agreed upon?
- (d) Is there employee or organizational resistance to change?
- (8) Determine methods for imparting needed knowledges, skills, or attitude changes.
- Are instructional methods suitable for trainee population?
- (9) Select and prepare instructional personnel.
- (a) Is there resistance to trainers from outside of the participating organization?
- (b) Are trainers familiar with learning theory and relevant educational methods?
- (c) Are "outside" trainers aware of the organizational functioning and climate of participating agencies?
- (10) Select participants and training sites.
- (a) In the case that sufficient funding for training all personnel is not provided, on what basis is selection of participants made?
- (b) Are training facilities available on an equal basis to all organizations?
- (c) Is there provision for overtime pay and replacement personnel for training participants?
- (11) Implement training.
- (a) Is there sufficient funding, allocation of resources, and availability of facilities to carry out training?
- (b) Is the administration supportive of and committed to the training program?
- (c) Does one find organization/personnel resistance to change?
- (d) Is work release time provided for training?
- (12) Determine outcome of training.
- (a) Are outcomes publicized, results shared and benefited from?
- (b) Are participants given the opportunity to utilize skills learned?

The training component often serves as the whipping boy upon whom are heaped the sins of other organizational components. Frequently, the blame is put on the victim--the employee--for performing inadequately when, in fact, constraints are induced by management and policy that inhibit change--including changes in employees' attitudes and behaviors. It is easy for executives and supervisors to explain problems in terms of the "obvious" inadequacies of their subordinates and to prescribe training as a remedy. It is harder to answer questions about how management and organizations need to be changed to facilitate and motivate good performance. Management policies and personnel may be a large part of the problem, instead of the solution. On the other hand, for almost any problem it is usually possible to identify situations in which creative efforts by some manager(s) have resulted in exceptional person performance and organizational effectiveness. Thus, display of leadership, and of its commitment to making training work, can be vital to an instructional system's operational effectiveness and to improvement of overall organizational performance. Relevant content and good techniques of training are by themselves not enough. This is perhaps the most general representation of what can be referred to as exogenous, contextual issues--as distinguished from endogenous, technical issues that deal with the state-of-the-art in training and its evaluation.

Endogenous Issues Impinging Upon Training

The fundamental questions to uncover the issues most directly related to the manner in which training is accomplished and how well its objectives are being met are these:

- What are the training components; how are they sequenced; and what are their operational linkages?
- What are the variations found in training content and goals?
- What are the variations in training methodology and procedures employed?
- What is the extent to which the training received is useful (or not) to those who are trained?

- What is the extent to which training needs are being met (or not)? To wit, is the given training appropriate to the needs of those being trained and the organizational units of which they are a part?

Again, within the conceptual framework provided by the Instructional System Operations Model (Figure III-2), the endogenous issues are addressed by a number of factors that detail the internal workings of the training process:

- (1) Define the job population.
 - (a) Homogeneity of job activity mix (i.e., the number of jobs with appreciably different duties included in the group to be given the same training)?
 - (b) Homogeneity of job level mix (i.e., the number of different organizational levels represented among the group to be given the same training)?
 - (c) Average job level (i.e., the average organizational level of the jobs being grouped together for training purposes)?
 - (d) Number of job population incumbents within the jurisdiction of the training project?
 - (e) Comparability of job qualifications between institutions (if population definition encompasses multiple institutions)?
- (2) Set or ascertain job performance standards.
 - (a) Results-oriented vs. behavior-oriented standards?
 - (b) To what extent were job incumbents aware of the performance standards for their jobs?
 - (c) To what extent did job incumbents accept the performance standards of their jobs?
- (3) Assess performance against standards.
 - (a) Subjective vs. objective assessment?
 - (b) Psychometric adequacy of assessment method?

- (c) What purposes were to be served by the assessment (e.g., merit raise determination, promotion, developmental feedback, organizational control)?
- (4) Determine performance gaps.
 - (a) What are the criteria for deciding whether a gap exists between standards and the actual performance of the job incumbents?
 - (b) Statistical significance of difference between average actual and maximum feasible achievement levels (for the job incumbents as a group)?
 - (c) What proportion of job incumbents exhibited significant deviation from satisfactory performance levels?
- (5) Determine if gaps represent training, organization, or selection problems.
 - (a) Is gap due to intra- or extra-individual factors?
 - (b) If gap is due to intra-individual factors, are these factors innate abilities, motives or traits, or trainable knowledges, skills, or attitudes?
- (6) Determine if training required for nonperformance reasons.
 - (a) What nonperformance goals (i.e., not job-related goals) is training expected to achieve?
 - (b) How do these nonperformance goals relate to the training activity?
- (7) Determine needed knowledges, skills, or attitude changes.
 - (a) Method of making the determination (i.e., empirical, clinical, rational, intuitive)?
 - (b) What types of needs are determined to exist: trait, knowledge, skill, attitude change, or some combination?
- (8) Determine methods for imparting needed knowledges, skills, or attitude changes.
 - (a) Type of method selected (e.g., classroom lecture, self-study, on-the-job training, multi-media, etc.)?
 - (b) Active vs. passive learning model?
 - (c) Rewards/sanctions linked to success in training?

- (d) Was the progress of participants assessed and fed back one or more times during the training?
- (9) Obtain or prepare instructional materials.
 - (a) Were materials obtained from outside sources or prepared by training personnel especially for this training project?
 - (b) Had the training materials been used previously to impart the specified knowledges, skills, or attitude changes?
 - (c) Type of materials selected: texts or manuals, programmed instructions, films, simulators/models, computerized interactive learning programs, etc., or some combination?
- (10) Select and prepare instructional personnel.
 - (a) Was training staff selected from in-house personnel or from external sources?
 - (b) Were trainers experts in the subject area or non-specialized instructors?
 - (c) If trainers were not subject area experts, were they provided with special training in the subject area?
- (11) Select participants and training sites.
 - (a) Were participants with different levels of prior knowledge about the subject area assigned to the same or different training groups?
 - (b) Were participants from different organizational levels assigned to the same or different training groups?
 - (c) Was participation in the training voluntary or mandatory?
 - (d) Were participants nominated by or required to have the approval of their supervisors to participate in the training?
 - (e) Were the training sites inside or outside the institutions where the participants worked?
 - (f) What was the average size of training groups?
- (12) Implement training.
 - (a) What was the average interval of time between training sessions?

- (b) How many training sessions did each participant attend during each week of the training?
- (c) How long did each training session last?
- (d) How many training sessions comprised the course of instruction?
- (e) What was the total number of hours of training?
- (f) Did the training occur during normal working hours?
- (g) What administrative/organizational factors constrained the process and/or content of training delivery?
- (13) Examine training outcomes.
 - (a) Were internal training outcomes (i.e., learning or attitude change) assessed?
 - (b) Were external training outcomes (job behavior or results) assessed?
 - (c) Was trainer performance assessed?
- (14) Go to Instructional Systems Evaluation Model. (This is merely the point of transition between models and does not generate any issues.)

INSTRUCTIONAL SYSTEM EVALUATION MODEL

This model (Figure III-3) provides for both formative and summative evaluation; however, the formative aspects of it are managed more completely in the Operations Model, and need not be further explicated here. The major steps involved in carrying out a summative evaluation follows those outlined in Figure III-3:

- (1) Is there to be an evaluation?
- (2) Is evaluation to be summative or formative?
 - (a) Summative evaluations
 - 1) Selection of outcome criteria
 - a) Does evaluation focus on internal or external criteria, or both?

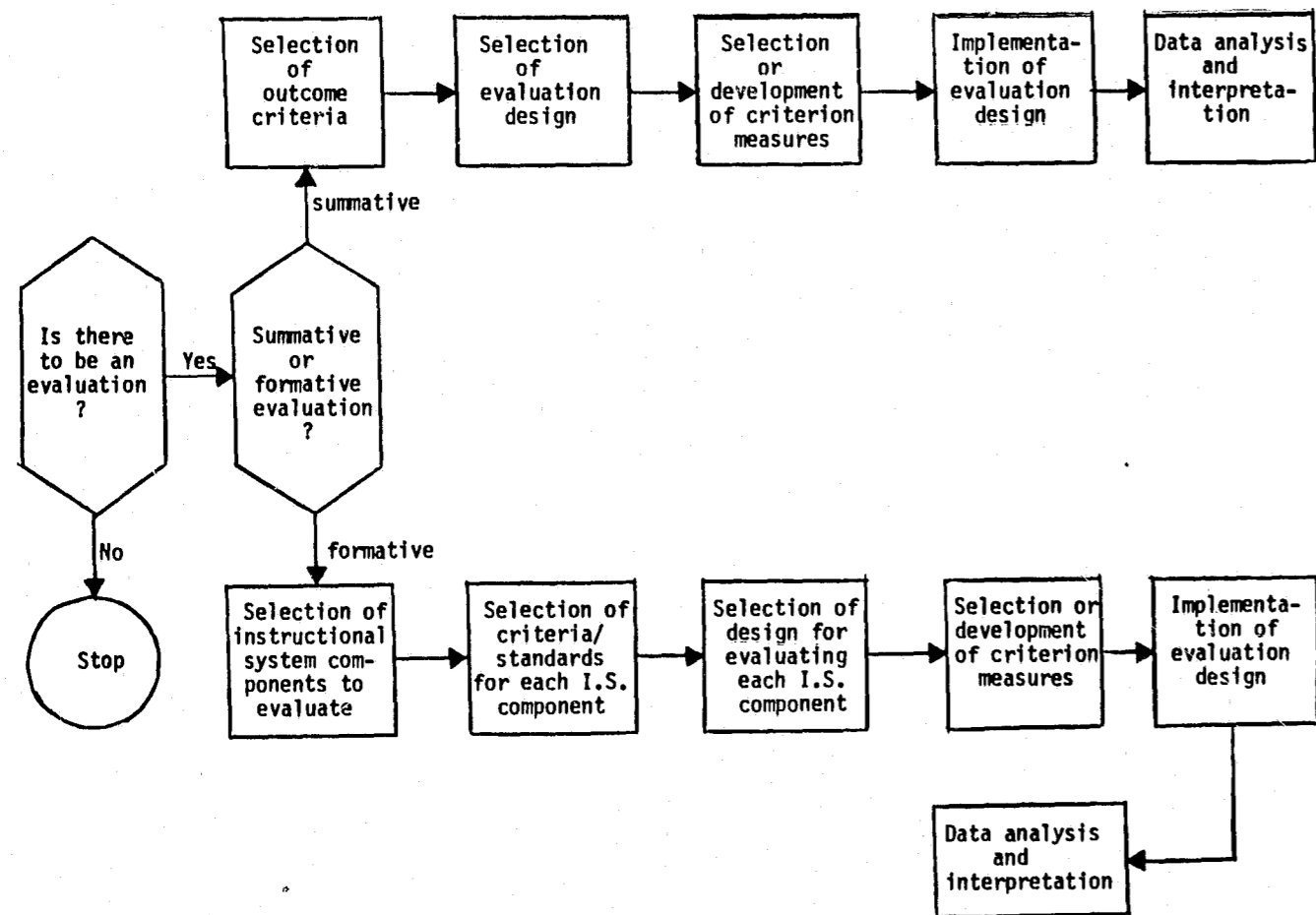


Figure III-3. Instructional System Evaluation Model

- b) Which internal criteria did the evaluation focus upon (learning, attitude change, or both)?
- c) Which external criteria did the evaluation focus upon (job behavior, job results, or both)?
- 2) Selection of evaluation design
 - Was design experimental, quasi-experimental, non-experimental (correlational), or post hoc?
- 3) Selection or development of criterion measures
 - a) Was learning assessed by achievement test, instructor rating, or self-report?
 - b) Was attitude change assessed by attitude survey, instructor/peer/supervisor rating, or self-report?
 - c) Was job behavior assessed by supervisor/peer/subordinate rating or self-report?
 - d) Were job results assessed by organizational performance measures, individual output measures, subjective performance ratings, or self-report?
- 4) Implementation of evaluation design
 - Was control/comparison group criterion contamination avoided?
- 5) Data analysis and interpretation
 - Did the training produce significant positive changes on the criterion?

It is readily apparent that if the foregoing questions applicable to training operations and training evaluation are considered fully and conscientiously, the factors that help or hinder the effective design and conduct of training projects become manifest. Likewise, the needs and the means for filling gaps and improving the quality of training become obvious. Furthermore, a basis is provided for constructing indices of training effectiveness for evaluation purposes. It is expected that with provision of adequate indoctrination and training of the people in correctional agencies responsible for training, a high degree of self-sufficiency in evaluation can be achieved.

The evaluation model shown in Figure III-3 is a simplified version of the model that we propose to demonstrate in Phase II of the project. On the basis of new knowledge from site visits, other evaluations, and survey findings, we have embellished and improved the model to fit better in actual correctional settings. The revised model is described in Chapter XI.

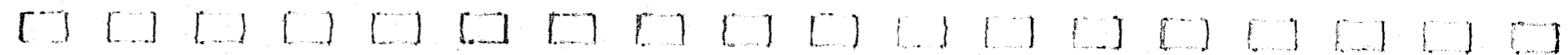
OTHER EXOGENOUS ISSUES IMPINGING UPON TRAINING

There are many ways in which the exogenous aspect of training/evaluation may be depicted. When this project began, we employed Figure III-4, as a single model to represent primary exogenous domains. We considered issues in three classes: (1) Valuative, (2) Policy, and (3) Practice. The strength or significance of each class of issues is not necessarily equal; issues are situationally determined. Likewise, the boundaries are not always clear cut, and usually there are varying degrees of overlap in interaction and influence. In this model, less importance is attributed to precision; more important is its role as a cognitive device for conceptualizing and clarifying the nature of the forces at work that lie largely beyond the direct control of those being trained or those doing the training. It is those whose responsibilities are broader in scope and whose authority is more overreaching who must give attention to these issues, if the general systems objectives are to be successfully addressed.

Valuative, policy, and practice problems are discussed in some detail in Chapters V and VI. Questions in the national survey deal with all three classes of issues portrayed in Figure III-4. Survey results, the opinions of the correctional training population at large, are related to all of the conceptual models in Chapter IX.

SOME INTEGRATIVE ISSUES

To this point, we have dealt with the model one at a time and unidimensionally to keep the presentation of a complex of issues and interactions as simple as possible for purposes of exposition. However, we do not want to leave the reader unaware of at least some of the ways that the models may become elaborated, and the interrelations that exist among them.



III-15

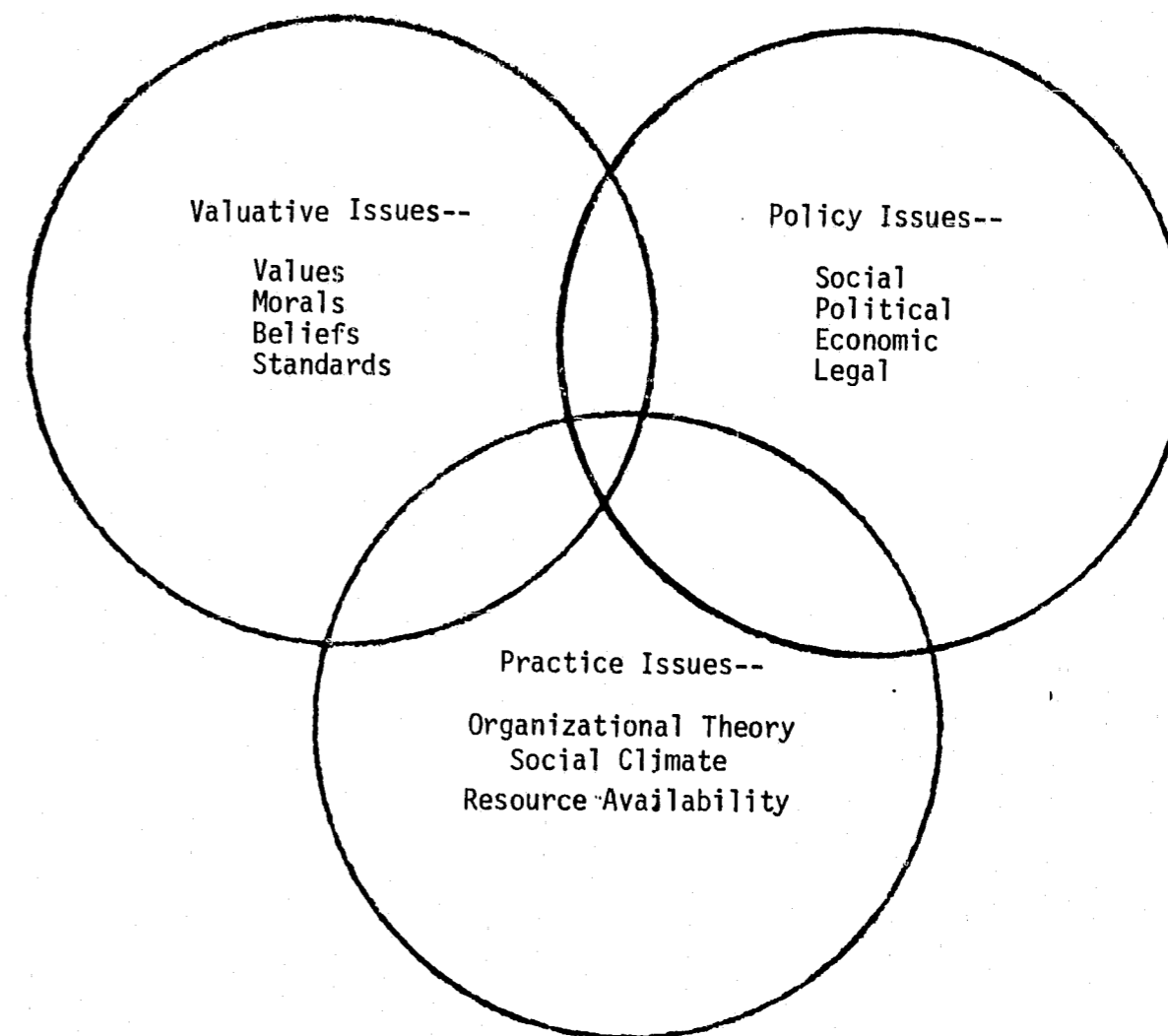


Figure III-4. Correctional Issues Model

First, it should be made explicit, if this understanding has not yet emerged, that when people track through these models, asking the kinds of questions we have attached to them, they are, in fact, engaging in training needs assessment.

Perhaps the greatest payoff from the use of the models, particularly the Operations Model, which is the core of the total system, is that by getting people involved in training to look at all (or as many as possible) of the elements that go to form the training package, they are enabled to answer many of the crucial questions for themselves. They can determine what conditions or alternatives they can accept and which they must reject; examine needs for change, and estimate the possibility of implementing given changes; increase their awareness of resources available; and define hurdles in the way of training.

While the elements of our models are laid out in logical order, it is recognized that in actual events, those managing training activities may choose to enter a model at almost any point, and work forward and backward from that point. Furthermore, at times it may be expedient to deal with different sections of the modeled processes simultaneously or as parallel sequences. In other words, these are logic models; in actual operations the sequence of events and treatments may be different.

Finally, we call attention to the omission of feedback loops. This was done to make them easier to see and write down. Almost any of the components can be tied with a feedback loop to almost any other component. In some instances, forward leaps are possible, skipping steps in the logic model when consequences can be reasonably well anticipated.

CHAPTER IV

ISSUES OF CONCERN IN CORRECTIONAL TRAINING

PROBLEMS OF TRAINING IN CORRECTIONS

The field of corrections is diverse and complex. For training to be relevant, it must be responsive to a wide range of different needs and concerns. A host of evaluative, policy, and practice issues have to be taken into account when assessing the nature and impact of correctional training. Uniform training standards for corrections may prove unworkable, simple because they cannot accommodate the diversity found in the field. In this chapter we highlight some of the more obvious sources of variations in the correctional field as a whole, and for specific correctional role incumbents. Political and practical constraints that operate across-the-board are also discussed.

Diversity in Correctional Philosophies

There are diverse views on correctional theory, policy, and goals (Fogel, 1977; Gilson, Hagedorn, & Crosby, 1974; Nelson, 1966). Shover (1974) goes so far to say that there is no existing body of theory in corrections--that each agency develops its own ad hoc theoretical beliefs. Differences in normative beliefs held by the public, as well as correctional personnel, make the task or mission goal of corrections hard to specify. At one end of the continuum are those who view the goal of corrections as maintenance of discipline and detention of the offender through use of force and regulations. Other representatives of the field advocate developing resources, programs, and opportunities for offender rehabilitation (Bilek, 1973). Still others opt for a middleground between simply holding offenders (incapacitation) and seeking long-term personality or value change (rehabilitation). They stress the need to build "coping competence" among correctional clients--to help offenders assimilate stress in constructive ways--in the context of the prison or free world communities in which they live (Toch, 1977; Johnson, 1979). Such divergent views on general correctional goals filter down to the various specific correctional

institutions and agencies, and ultimately to the individual correctional workers, who tend to view themselves as custodians, treatment professionals, or human service agents, with widely differing expectations of their training.

Differences exist not only with regard to correctional theory and mission, but on policy and practice as well. Assuming, the highly unlikely case that all practitioners became committed to the treatment ideal, that goal could not be easily attained. As Gilman (1966) points out, there is no consensus on the best method of treatment, and applied theory is generally vague and inconsistent.

Divergencies in correctional policy are fostered by the separation of political, legislative, and administrative powers, and the different responsibilities of governmental branches and jurisdictions. Such a condition produces complex patterns of agency interaction (Maryland Governor's Commission, 1976). For example, the state or federal legislature defines criminal behavior and its sanctions; executive agencies at the city, county, and state levels devise specific policy; the judicial branch prescribes the sentence (Bilek, 1973). Justice agencies are managed by different centers of political and governmental power that often operate in service of different (even contradictory) ends (Joint Commission on Correctional Manpower and Training, 1970). These organizations, in response to public and political pressure, may have to compete to demonstrate statistical success, with overall objectives compromised or obscured (Bilek, 1973). Thus, corrections agencies cannot be said to be either working along common lines or toward common goals. Training programs that assume such commonality of method or purpose are not likely to respond adequately to the needs of their correctional clients.

Diversity of Correctional Roles and Personnel

Correctional roles are not clear-cut in terms of job demands and expectations. To develop training, one must specify what it is a person does, including the context and constraints within which the job is performed. However, the divergent view of correctional goals translate into

different (and often conflict-ridden) role performance expectations in the field.

The line correctional officer's job, for instance, typically embodies two different sets of tasks--holding and helping prisoners. Job incumbents place different weights on these tasks. Training programs may be geared to respond to such variations in role performance requirements, but assessing such variations in a consistent manner proves to be a difficult practical task. More troublesome, however, is the prevalent view that custody and treatment functions are incompatible. Several experts, for example, believe that the maintenance of social distance from the offender and the para-military structure of the high-custody prison are necessary for the correctional officer to maintain control over the inmates (Farmer, 1977; Grenfell, 1967). The fact that principal goals of the institution are security and rehabilitation creates a conflict for the correctional officer. Security calls for fixed rules and regulations, while rehabilitation call for flexible individual treatment. Glaser (1966) notes that a change in inmate-staff relations from authoritarian to friendly imposes considerable strain on the guards. For example, when personal counseling and weapons shake-down is conducted by the same person an inherent conflict of roles arises. In any event, inmates may not grant discretionary treatment authority to the "screws." Training that seeks a "standard" or "homogenized" version of the guard role (or any other correctional role), then will be ineffective because it imposes an artificial consensus.

Role Differences Among Correctional Staff

Training is also made more difficult by the interpersonal pressures and tensions that surround correctional workers, making them unresponsive to training that does not endorse their version of their role. The following descriptions of typical interpersonal clashes involving correctional staff and clients illustrates this problem.

Correctional Officer--Inmate

The often unstable relationship between these two groups can present an operational problem (Jansyn, 1965; Maryland Governor's Commission, 1976). As well as producing inmate resistance to accepting the officer as a helper, this conflict can create an officer prejudice towards the offender (Jesness, Allison, McCormick, Wedge, & Young, 1975; U.S. Commission on Civil Rights, 1976). The line worker's view of the inmate as an "inadequate" person, one not worth wasting time on, may interfere with the worker's receptivity to training. Thus, the officer may not put forth effort to learn how to aid the offender. Reciprocally, the inmate may reject help.

Correctional Officer--Treatment Staff

Conflict exists between uniformed staff with primary responsibility for maintenance of order and security, and treatment staff specialists who conduct offender rehabilitation programs (Maxim, 1976). "A central issue is the inability...of different staff groups to work in the same institutional setting" (Thomas & Williams, 1977). Custodial and treatment staff tend to view each other's activities as violations of turf. Treatment specialists frequently are young, liberal, and well educated, as compared with the older, less educated, but more experienced line officer, whose background and value system may not be very different from that of the inmate. Thus, the education versus experience debate surfaces. Philosophical and normative beliefs differ between the two groups with the result that each group rejects training that reflects the values and priorities of the other (American Correctional Association).¹

¹Maxim (1976) describes this polarization of staff as a conflict of interest groups with different roles and ends. He suggests that the two goals should be made one--practitioners should become generalists, not specialists. Broader tasks for both staffs should be devised, such as under a human service function (cf., Johnson & Price, 1979). The problem is seen as management failure to deal with role conflict and interest group formation.

Frank (1966), Brown, and Sisson (1971) suggest that the purpose of training for guards is not to make specialists out of them, but to provide a sensitivity to treatment and rehabilitation. Maxim (1976) and Peretti and Hooker (1976) suggest that line staff members sympathetic to (cont.)

Parole Field Staff--Institutional Staff

Similar to the conflict arising between treatment staff and the line worker, the problem here is one of different jobs and philosophies and the impediments to constructive interaction of parole and institutional personnel. The parole investigator is concerned with offender performance outside the prison, whereas the institutional worker may not share these concerns. "The field force is characteristically out of touch with and sometimes hostile to the staff and programs at the institution" (JCCMT, 1970). Training justified, in whole or in part, by its long-term payoffs, may not strike a responsive chord among institutional workers, who are preoccupied with immediate problems. Conversely, training justified, in whole or in part, by reference to short-run improvement in conduct of offenders within the prison may be rejected by probation and parole staff as irrelevant to their work and goals.

Correctional Officer--Correctional Officer

A camaraderie exists among line workers rooted in shared fate and the need for mutual assistance in dangerous situations. However, the officer who participates in a training program and readily adopts a new approach in the work may be rejected by other workers. The latter may be less than eager to respond to calls for help in cooperation from "eager-beavers" or "inmate fraternizers." Such conflicts can undermine a training program that does not support the concept of legitimate work endorsed by the trainees and their peers.

Correctional Officer--Administration/Manager

Communication between line staff and managers and administrators frequently is inadequate. A training program may not be accepted by the line worker due to confusion about its purpose. Participants in

(continued from previous page) the goals of treatment are those who should be hired. Of course, this assumes that such people are available for hire, which is often not the case. The absence of a "selection solution," then dictates a "training solution," but the training solution to this problem remains to be formulated.

programs may fear that their prior performance was deemed inadequate and that their job may be in jeopardy. The trainee is often uninformed as to what he or she should be getting out of the program. There is an apparent need for more adequate explanation and publicizing of training programs by the institutional staff (Jensen, Schwartz, & Rowan, 1975; McConkie, 1975; Kentucky Mental Health Manpower Commission, 1974). In addition, there is a failure of management to make subordinate echelons aware of purposes, objectives, and outside influences that need to be responded to. Management personnel frequently fail to be consistent, reinforcing, and supportive. Training offered by administrative fiat is likely to be seen as out of touch with the "real world" of corrections, or as a rebuke to wayward employees.

POLITICAL HURDLES

The corrections system is vulnerable to political pressures. McConkie (1975) claims that correctional personnel are unable to control their own destiny; legal constraints and political pressures chart their future. Solomon and Gardiner (1973) describe corrections as entwined in legal-authoritative relationships which determine responsibility for activities and constrain actions. Corrections personnel are forced to conform to the opinions of community groups, professional organizations, and powerful political and governmental figures.

Commitment of the governor to a program can weigh heavily on its acceptance and failure or success. Since most states experience gubernatorial or legislative elections every two years, instability results. Corrections does not usually stand high on the priority lists of political personalities. There is a general public apathy to the unattractive, largely invisible clientele (criminals), a historic resistance to change, and a penchant for implementation and quick discard of faddish programs. As a political constituency criminal offenders are a weak force. A major concern of political leaders often is that of housekeeping, job retention, and stability. As a consequence, when results of correctional programs and projects are publicized, the whole truth may not be revealed (White &

Dean, 1969). Training problems encountered may thus be repeated unnecessarily, reducing the credibility of training as a means for addressing correctional problems.

Professional corrections personnel are unhappy with the political manner in which job selection and advancement occurs (Kentucky Mental Health Manpower Commission, 1974; Jacobs, 1978). A major pitfall of the promotional system is that it fails to reward the corrections employee who successfully completes a program and utilizes the skills learned. The correctional officer who is rewarded for his efforts will profit most from the training program and will utilize his learned abilities (Jansyn, 1965). With reward absent from training, gain is slight. The intrusion of politics in career advancement, and the overall lack of incentive and benefits for participation in training, present major problems in corrections (Jesness, et al., 1975; JCCMT, 1970).

RESOURCE DEFICIENCIES

As frequently noted previously, the very nature of the field of corrections provides conditions that pressure shortages of resources to carry out corrections work. Few correctional officer jobs are held in high esteem by the public at large, or by the actual job incumbents. The jobs themselves have not been carefully analyzed to determine what the work requires, they usually do not pay well, they often are in a work environment that is physically unsafe and emotionally trying. It is not surprising that turnover often exceeds 50 percent annually. Incumbents often view such work as seasonal, something to fill the gaps between other jobs. Training of workers who are leaving the job in 6 months becomes sort of futile.

The comment of G. Gordon Liddy, who served a prison sentence for the Watergate burglary of Democratic Party headquarters, bears on resource deficiencies in another sense. He points out an inconsistency in not requiring higher employment and performance standards for line correctional officers (Darling, 1979):

Prison life, he said, did change his view on the way crime is punished in America. "Beforehand, I suppose I accepted the view that rehabilitation was possible and perhaps going on in some cases in the prison population." Being there brought a different perspective.

Whatever you think of the morality and the judgment of a man who has been convicted of an armed robbery, he is a forceful, aggressive, strong personality. And he's being guarded by men with weak personalities who are guards because they can't do anything else, failed individuals trying to control strong men. It just doesn't make sense.

The point he illustrates would receive virtually unanimous endorsement of leading professionals in corrections. There needs to be better selection and training of correctional officers. To effect rehabilitation, one needs good models. Unfortunately, rarely, if ever, in this country has the cost to accomplish this been deemed acceptable.

Other practical considerations and obstacles arise that can put a quick halt to training activities. Recruitment is often difficult. Many institutions are overcrowded and understaffed. "Burn-out" among staff is an all too common malady. Personnel cannot be released from their jobs to attend training programs. Probation and parole officers, as well, carry over-sized caseloads and need to commit all of their time to their job. In these cases, there is no time for training, and no budget to pay for overtime hours or for replacement staff. As a solution to these understaffing and budgetary constraints, it has been suggested that the resource of student-interns and retired workers be tapped (Maryland Correctional Training Commission, 1974; Jensen, Schwartz, & Rowan, 1975). The design and use of portable training packages, mobile training units, and other means of bringing training operations to where the people are, address some of the difficulties and costs of providing release time.

The shortage of funding, resources, and facilities for training may be ameliorated when corrections professionals are in a position to present a consistent, well-thought-out plan, mapping the path to be taken in training personnel. Public officials and politicians may then be more

attentive to requests for the financial support necessary to underwrite training programs. A common inhibitor of a training program is lack of administrative commitment (Jesness, et al., 1975; Jensen, Schwartz, & Rowan, 1975; American Correctional Association, 1978). In order for a program to be successful, all levels of the participating organization must support it. There is a pressing need for more administrative and managerial demonstration of approval and cooperation.

While training difficulties that stem from a lack of clarity and consistency in correctional goals, political influences, resource deficiencies, and inter- and intra-organizational conflicts make solutions difficult, there are steps correctional personnel can take to avoid known training problems and facilitate training efforts. Previous training efforts have revealed several key junctures in the training process where activities of planners, organization, and training personnel may determine whether or not desired training outcomes are achieved. Table IV-1 summarizes some of the focal concerns in correctional staff training, presenting these activities as they influence training effectiveness.

SUMMARY

Correctional training occurs in a context marked by a wide divergence of views on key issues, including differences regarding the nature and importance of the various correctional agency tasks and personnel roles. The capacity to use training to meet this complex demand situation is limited by shortages of funds, by mixed administrative and political support, and by the many factors that contribute to low staff morale and resistance to change.

Correctional training is also significantly affected by the orientation of the correctional agency to its larger environment, in particular, by the agency's capacity to manage environmentally induced stress. The complex interrelationships among the correctional agency, its larger environment, and its training response are the subject of the following chapter.

Table IV-1
 Contrast of Issues in Training

TRAINING FACILITATORS	TRAINING INHIBITORS
Educators, professionals, correctional personnel working together--unified front for corrections	Lack of agreement/guidance from consistent body of correctional theory
Clearly written and available institutional philosophy and function, pertinent rules and regulations	Vague institutional philosophy and goals
Written goal statement for program Development of behavioral objectives	Vague goal definitions of training program
Demonstrated administrative support and commitment to program	Lack of administrative support for training program
Legitimate recruitment and employment practices Promotion on merit	Political appointments and promotion
Interdepartmental communication and cooperation	Personnel and departmental conflicts
Provision of state and federal funding	Lack of funding, resources, training facilities
Utilization of substitute work force of retired workers, student-interns	Lack of time for training, replacement staff, funds for overtime pay
Administrative reward for training participation and quality performance	No incentive/reward for participation in training program
Innovative training methodologies e.g., role playing, group discussion, use of audio-visual materials	Traditional classroom presentation of training material

CHAPTER V
 SITE VISITS TO CORRECTIONS AGENCIES

PURPOSE OF SITE VISITS

Much information on correctional personnel training programs was gathered through review of correctional training literature and discussions with corrections experts. While this information provides a strong background on the state of training in the field, it is, however, secondary source information that may not faithfully mirror the current concerns of local training staff and administrators. Therefore, 17 training programs/projects were chosen for intensive on-site data gathering, in order to obtain first-hand knowledge of correctional training. The flexibility of the interview format enabled us to explore the needs and interests of people in the training field, to pursue their concerns in depth, and to capture information unanticipated through the secondary sources.

SELECTION OF SITES

Defining Correctional Training Programs of Interest

In the beginning of our search for training sites, we found that a broad range of activities fall under the heading of correctional training programs. Criteria defining the universe of candidate training programs were established to guide site selection:

- (1) Characteristics of training programs included in site visits:
 - (a) Established for the purpose of providing job-related training to publicly employed corrections personnel in corrections agencies or institutions under the control of state or local jurisdictions.
 - (b) Are either on-going or recently completed.
 - (c) Have a minimum of 10 participants.
 - (d) Are 20 or more hours in duration.
 - (e) Are sufficiently integrated and managed as to have a permanent address.

(2) Characteristics of trainee population:

- (a) Paid workers in adult and juvenile facilities, and community-based correctional facilities and half-way houses (where inmate or resident populations are adjudicated persons) under the control of state and local jurisdictions.
- (b) Persons in the following occupations within the facilities described above:
 - 1) Line personnel--correctional officers (in prisons, camps, jails).
 - 2) Counselors and caseworkers.
 - 3) Probation officers.
 - 4) Parole officers.
 - 5) Supervisory personnel for the above populations.
 - 6) Institutional administrators, managers, and planners for the above populations and for planning agencies.
 - 7) Trainers for the above populations.

Identifying Candidate Training Programs

Since there was no existing source or list of correctional training programs, a list of candidate training programs for site visits was constructed through several approaches:

- Literature review and discussions with training experts.
- Search of LEAA INQUIRE printouts on Block and Non-Block awards, plus National Institute of Corrections (NIC) grant and contract project summaries.
- Telephone calls to institutions listed in the American Correctional Association (ACA) Directory and LEAA Regional Directories.

Selecting Programs for Site Visits

Considering the relatively small number of training programs to be used for the intensive site visits, it would have been unreasonable to attempt a representative sample. The most appropriate approach was to purposively select a set of training programs which would maximize the

diversity of the selected sites. In order to do so, dimensions differentiating various types of programs were outlined. Training programs were then chosen to reflect the various characteristics of these dimensions. The characteristics of the dimensions on which these programs were categorized are displayed in Table V-1. (The table does not provide an exhaustive list on all dimensions. For example, we considered training programs that offered courses other than those listed under training content.)

Sites Selected

Within the criteria defining a training program, 17 sites were selected so as to encompass as many as possible of the characteristics outlined in Table V-1. A listing of the sites, the location of the training, and the date of the visit is presented in Table V-2. Site visit reports describing each program and summarizing training activities are included in Appendix A.

SITE VISIT METHODOLOGY

Pre-Visit Preparations

Several factors entered into whether a program was ultimately chosen. It was necessary that the training administration be in favor of a visit, since participation was entirely voluntary. It was made clear to the agency that the visit would not be an evaluation of the agency--our purpose was to assess the state-of-the-art of correctional training. Each program chosen was contacted by the LEAA contract monitor, Dr. Harold R. Holzman, who voiced endorsement of the research and thanked the program official for supporting it. This official communication between the programs and LEAA increased the perceived legitimacy of ARRO and the NEP project, and was well received by the participant agencies.

On-Site Procedures

The site visit methodology encompassed three general activities: interviewing training personnel and trainees, collecting and reviewing documentation, and observing training in progress. Although the on-site procedures were necessarily flexible in order to accommodate the various



TABLE V-1

Site Selection Dimensions

Trainee Populations

Institutional Line Staff
a. Adult
b. Juvenile

Probation and Parole
a. Adult
b. Juvenile

Community Based Residential Staff
Sheriffs and Jailers
Correctional Administrators
Correctional Trainers

Training Jurisdiction

Agency/Institution
County
State
Multi-State

Training Structure

In-House
Academy
Regional Conferences

Training Staff

Agency Staff
Consultants
a. Private
b. University-Based

Geographic Location

North
South
East
West

Funding Source

State/Local
Federal Grants

Training Content

Basic Training
a. Pre-Service
b. In-Service
Crisis Intervention
Hostage Management
Correctional Law
Collective Bargaining and Arbitration
Management Skills
Systems of Organizational Environment
Interpersonal Communication Skills
Training for Trainers

V-4

TABLE V-2
Schedule of Site Visits

<u>Training Source</u>	<u>Site Location</u>	<u>Date</u>
California Parole and Community Services Division	Sacramento, California	February 5-6
California Youth Authority	Sacramento, California	February 7-8
Law Enforcement Training and Research Associates, Inc. (LETRA)	Mountain View, California	February 9
National Institute of Corrections (NIC) Jail Center	Boulder, Colorado	February 12-13
New England Correctional Coordinating Council	Wakefield, Massachusetts	February 22-23
State of New York Department of Correctional Services	Albany, New York	February 26-27
State of Illinois Department of Corrections	Chicago, Illinois	February 28 - March 1
Pacemaker Planning, Inc.	Louisville, Kentucky	March 6
New Mexico Department of Criminal Justice	Sante Fe, New Mexico	March 8-9
Management and Behavioral Science Center - Wharton	Philadelphia, Pennsylvania	March 12
Colorado Department of Corrections Correctional Training Center	Canon City, Colorado	March 14-16
International Halfway House Association	Columbia, South Carolina	March 20-21
American Arbitration Association	St. Louis, Missouri	March 22-23
Wayne County Circuit Court Probation Department	Detroit, Michigan	March 26-27
Office of Jail Services	Lansing, Michigan	March 28
Group Child Care Consultant Service	Chapel Hill, North Carolina	April 5-6
Mississippi Department of Corrections Training Department	Parchman, Mississippi	April 11-13

training programs, an effort was made to keep methodology as consistent as possible across sites. Interview guides were developed to structure the discussions with interviewees and to ensure that comparable and complete information was obtained from each site. (See Appendix B for explanation and copies of the Interview Guides.)

Interviews

The site visit team consisted of 2 or 3 ARRO project staff members. Both group interviews and individual interviews were conducted during a site visit. Participating in the group interview were the training administrator and key personnel. Group interviews were held at the beginning of each site visit, since they presented the most efficient means of providing an overall view of the training program to the entire research team. A group meeting was also useful for the departure briefing to share with the training staff the information assimilated and the insights of the research team.

The research team split up to conduct individual interviews with the administrator, 2 or 3 trainers, and 2 or 3 trainees. These in-depth interviews permitted the perspectives emanating from various levels of the training organization to be examined and compared.

Documentation

Training personnel were more than generous in furnishing documentation of training programs. Information requested and obtained included descriptive literature on the training program(s), such as program curricula, schedules, information about facilities and resources, training participant job descriptions, and performance standards.

Observation of Training

Whenever training was in progress, the research team was given the opportunity to observe training activities, and compare the description of training on paper with the actual training performed. An effort was made to sit in on lectures, role playing, and group discussions, review

classroom handouts and materials, and to view visual aids, videotapes, and films. By monitoring training, research team members were able to become familiar with instructional methods used and various components of the training environment.

SITE VISIT FINDINGS

The analysis of site visit findings was undertaken to identify prevalent characteristics and processes of the correctional training programs visited and to highlight some of the issues that surfaced as forces that shape training in its development, implementation, and evaluation. Several sources were used for purposes of analysis. Site visit summary reports, containing a description of events at training programs visited, synthesis of interview notes taken during discussions with training personnel, and impressions of research team members regarding each program were reviewed. A limited content analysis was conducted of documents collected. Finally, project staff held lengthy discussions among themselves to share ideas and perceptions, and to clarify information.

The Training Environment

The analysis of site visit data focuses primarily on findings in relation to the Instructional System Operations Model (Figure III-2). (This is also referred to in the report as the Process Model and Operations Model.) The Operations Model flow chart provides a logical structure for viewing the training process; it clearly depicts each of the basic components considered to be of significance in developing and implementing a training program. This part of the analysis looks at the internal training environment or processes that are, in practice, heavily influenced by external variables such as organizational contingencies and climate, and activities that take place in the broader ecological environment within which training is conducted. The carrying out of each of the steps outlined in the model does not ensure a smoothly operating program that achieves its desired outcomes, because the training process is influenced by these many external factors (discussed later in the report). The

assumption is that if at each step, the relevant questions are made salient and are addressed, then a sound approach to training program development, and presumably more effective outcomes, will emerge.

The analysis that follows addresses information from the 17 training programs visited in relation to each step of the Operations Model. A summary of findings across sites, as well as specific program highlights are provided. While some of the points brought out are not necessarily new to those in the field of corrections, they point out matters that must be dealt with if more effective training is to be achieved.

The degree to which training programs followed a process approximating that illustrated by the Process Model was contingent upon the structure, or more specifically, the setting of the training program. Three basic variations that characterize the location of the training unit in relation to the correctional organization as a whole have been identified. The first structural arrangement consists of training offered by an in-house training unit. Training in this case, is conducted within the confines of the home agency, yet the training environment remains distinct from the organizational environment. The second type of training program is one conducted on a departmental or state agency basis. An example is the correctional training academy to which staff from a number of state facilities are sent for training. Finally, a program can be presented as a regional workshop or conference. The location of each session varies; training is usually conducted in a hotel or conference center. Trainees from a wide range of agencies often attend such workshops. Within the context of the analysis there will be an attempt to distinguish elements of structure that make a difference in the training process.

Define Job Population

In the majority of cases the job population was clearly defined. Training staff were familiar with job titles and responsibilities of participants, although job descriptions were frequently superficial and formal job analyses had not been conducted. Job descriptions were generally used for two purposes. In the case of an in-house training unit, where the people being trained worked at the same job, the description

was sometimes taken into account for program development. As such, there was an attempt to design the program to fit the available job descriptions. Regional workshops or conferences offering training used job descriptions more frequently for selection purposes. Individuals applying for workshop training programs were often required to submit their job title with a brief description of job tasks and responsibilities. Training staff used the applicants' descriptions to select participants for whom the training offered would be most job related.

The trainee population was usually quite diverse in terms of knowledge, job experience, and specialty. This arrangement was, with few exceptions, intentional, as it was felt that trainees had a lot to share and learn from one another. A few change-oriented programs included participants who did not work in corrections. These programs selected teams of participants made up of local planning personnel, county commissioners, attorneys, and architects, in addition to the corrections workers. This approach was adopted to enhance a team effort; to train together the individuals who would have to work together to obtain funding, implement changes, and develop new policies. This kind of team training was developed to confront the crucial need to obtain local support and assistance in effecting change.

Determination of numbers of people within each job specialty who had received training and who had not was a difficult task in many jurisdictions. Most centralized department training programs kept accurate records, but this practice was not universal and often pertained only to newly hired employees. Keeping track of training given to whom, by whom, and when was complicated by high turnover rates, new training mandates that created many "grandfathered-in" workers, and an earlier lack of concern with keeping records.

Often expressed by current trainees was a hope that their supervisors and managers might go through the training programs they were required to attend. A concern expressed also was related to the lack of training received by the "old guards" who were working in corrections before training became legally required. These two issues, that arose

with regularity, dealt with impediments to acceptance of the new knowledge and skills acquired on the job. Finally, although recent efforts to deal with the lack of training background of personnel in small rural detention units, have made some progress, it was reported that workers in many small jails and local lock-ups (often under police jurisdiction) have still not received training.

Ascertain Performance Standards for the Job

In general, very little was discovered regarding the development, nature, and acceptability of performance standards. Although early in LEAA history standards development had been a major element, in reality, they simply do not play a large role in the present training process.

With few exceptions, there were no well defined job performance standards to support and reinforce the training given. Three situations were revealed. First, with many programs, the existence of performance standards was not acknowledged. In the second instance, and true in a large number of cases (particularly in reference to regional and departmental programs), training staff were aware that performance standards did exist in the trainees' home facilities, but there was no attempt to integrate the on-the-job standards with training. Commonly, performance standards were not uniform or were too organization-specific to fit in with broader program goals. Third, the expected job performance accomplishments were ambiguous--much influenced by managerial, political, and social issues and values that have not become an explicit part of performance standards.

There were exceptions--a limited number of programs did integrate organizational performance standards with training. This occurred in situations where both program goals and performance objectives were quite specific. This was observed in cases where the training unit was well structured and where the trainee population was homogeneous, i.e., worked similar jobs.

The existence and uniformity of performance standards appears to depend on the nature of the training organization or departmental structure. Even when standards were established, they were generally unable to link them with training. And if there were no explicit performance standards in the trainee's parent organization, the training unit usually did not have the "clout" to insist upon them when developing a program.

Assess Performance Against Standards

As we noted in the previous section, little is known about performance versus standards. First, because any activities at this level were primarily dependent on the policies of the home organization; and second, because these occurrences were rarely related to training. This being the case, we usually were not able to obtain useful information from the training personnel with whom we spoke.

Is There a Performance Gap?

Given the circumstances mentioned, the determination of gaps between actual performance and established performance standards was often difficult. Hence, it made better sense to look at the impetus for training from a standpoint that looked beyond specific identification of adequacies or inadequacies in performance. The gap appeared in every case to be a result of a combination of training problems, organization problems, and selection problems. Training--because of a lack of skills on the part of the trainee population. Organization--because of forces existing within each agency (that will be discussed later on in depth), in addition to a failure to link organizational policies to training. Selection--because of the quality of personnel assigned to receive training (this will also be addressed later on).

It became apparent that there were aspects of training that quite frequently were instigated for nonperformance reasons. The factors influencing the training process existed as stresses within each organization and as pressures from the external environment. These forces and events--legal, social, and political--surrounding and impinging upon the correctional system were discovered to have a great deal of influence

upon training development and delivery. A more complete discussion of these findings is contained in the latter part of this chapter and in Chapter VI.

Determine Needed Changes in Knowledge, Skills, or Attitudes

The assessment of training needs was also found to be basically an informal and intuitive process. Determination of needs rarely involved a formal needs assessment. Selection of program content was done more or less without any detailed examination of trainees' needs and program goals.

The principal method of establishing needs was through informal networks and contacts between training staff and practitioners in the field. Program developers solicited input from facility supervisors, relied on information from ex-trainees and (if the training program was run out of an academy, for example) obtained reports from institutionally-based training personnel. Committees and advisory boards made up of departmental heads and policy makers were sometimes formed to get at needs and provide a basis for establishing programs. Frequently the future consumers of training were surveyed and asked, "What would you like to see offered?" While this provided information on interests of the population surveyed, it reflected personal likes and desires, rather than specific needs. Scanning facility incident reports (listing of unusual occurrences or disturbances), and keeping records of legal suits brought against correctional workers provided yet other indices of training needs (as well as measures of performance).

When time allowed, trainers would go into facilities and work on-the-job in order to identify needed skills and knowledge, and to get a feel for the organizational climate. Periodic performance evaluations sometimes led to the recognition of training needs. Infrequently, a formal and detailed needs assessment had been conducted, but most programs had not been developed that thoroughly. A detailed discussion of the need assessment process is contained in Chapter X.

Determine Training Methods Used

In selecting training methods, training staffs took several variables into account. There was usually an effort to fit training methods to: (1) the trainee population, (2) trainer's abilities, (3) training goals, and (4) resources available. At one site visited, involving a program where the trainee population consisted almost entirely of rural, conservative, "down-home boys," the trainers took these factors into account in selecting teaching methods. The trainers, attuned to the social set and background of the participants, were sensitive to the reluctance on the part of the trainees to become involved in demonstrations and to openly participate in learning. Hence, role playing and requirement of individual presentations were avoided as instructional techniques. Similarly, if a trainer were uncomfortable with role playing, this mode of teaching was not used.

A training technique called Action Planning provides an illustration of tailoring the instructional methods to program goals. This method was used primarily when a goal of the program was for the trainees to implement some type of change upon return to the home organization. Action planning, as a collaborative planning process to develop strategies for change, involved teams of participants who tailored the learning to their home institutions. The process began with identification and definition of the problem; the final outcome resulted in the production of detailed, concrete, problem-specific plans for change.

Training staff were all familiar with the "learn what you do" principle and in most cases, attempted to actively involve trainees in the learning process. Many programs placed an emphasis on group activities and structured exercises. The idea here was to facilitate information sharing and learning among trainees. One team concept method involved small groups of participants in simulating mock trials and demonstrations, creating a highly competitive mood. The technique proved to be effective in learning, in that there was immediate motivation for winning team contests, compared with the long term motivation of benefits on the job.

Role playing with videotape feedback was a favorite among trainers and participants. The use of performance feedback to trainees, aside from this method was usually more informal, involving group and instructor critiques of demonstrations. Tests were frequently used for this purpose. When test scores were not employed for grading (on a pass-fail basis) they served to provide trainees and trainers with an idea of where additional work was needed. Tests used as assessment instruments--but with minimal performance required to pass--were used primarily in basic level orientation training programs conducted at academies.

Another instructional technique observed was "team teaching," developed for use by Crisis Intervention trainers. This is not the same concept as that employed in many elementary schools. In the training observed, two instructors worked together in front of the class, presenting information, leading discussions, and supervising activities. Each instructor would speak approximately two minutes, then the other picked up to provide additional comments, information, and response to trainee reactions. Sometimes the instructors would carry on dialogue between themselves. The method appeared to be a very effective device for encouraging trainees to remain attentive and active in class and for making the instructor's job easier. The technique ensures instructor back-up (e.g., in case of illness), but it is more costly, since two instructors rather than one are involved.

In general, common teaching methods (such as lectures) were found across sites, with some techniques (like the above) particular to the agency conducting the training. All of the trainers interviewed denied extensive use of lectures in light of a thrust for active involvement of participants in class. "Lecturettes" comprised the new delivery mode, although observations of training led us to believe that at times the distinction between the lecture and the lecturette was a bit hazy.

Instructional Materials

Most of the local training programs were developed primarily by in-house training staff. Occasionally, when funds were available, consultants were called in to help with program design. Training staff

members used a wide variety of resources in developing programs. Interviews were held with academicians, specialists, and practitioners. Available literature was obtained and reviewed, including government reports, recommendations and standards set by professional groups (such as the American Bar Association and the American Correctional Association). Quite frequently, preexisting programs were adopted and modified or several programs were combined to fit resources, needs and goals as perceived by the trainers. This occurred though, only when training staff were aware of other programs in the field, or actively sought out information from other trainers. In many instances efforts to design a program duplicated work done previously.

Training packages were also designed by private consulting firms that specialized in the development of training for correctional personnel. These programs were often obtained on a grant or contract basis. Many facilities did not have funds for these services, hence, programs developed in-house were more common.

Training staff often were continually revising, updating, and modifying training materials. When staff set aside two or three weeks a year to break from training, this time was spent revising programs and materials. First-run programs especially underwent changes in content and structure in response to concerns voiced by trainees. Feedback from facility supervisors regarding performance of a class of trainees and comments from the trainees themselves concerning difficulties on the job were considered valuable sources for modification of course design. Often program content needed to be revised to keep up with changes in regulations, statutes, and policies.

Trainees were usually provided with education kits in the form of large looseleaf notebooks containing course materials and additional literature. Policy manuals, texts, and workbooks were often used. The packaged course materials were used to supplement ongoing training, served as resource guides, and a reference base for trainees after programs were completed.

There often are deficiencies in training material that most programs have not remedied. Devices need to be built into the training and into the materials that will make it necessary--or at least strongly encourage--the continued use of the materials when the trainee gets back on the job. This kind of reinforcement of things learned needs to be assured. For example, probation officers provided with in-service training designed to upgrade the quality of their court reports, could be asked by their supervisors to review training case study materials highlighting the salient features necessary for ensuring completeness and acceptance of their reports by judges.

Selection and Preparation of Training Staff Personnel

There are basically two types of training personnel--staff trainers, who deal most with the trainees and spend the bulk of their time conducting training classes; and training directors, who have additional management, coordination, and planning responsibilities. (At times there was a good deal of overlap in tasks.)

Staff at the trainer level were most likely to have been recruited from a line officer or field worker position within the system. Selection criteria for these trainers were frequently non-standard and informal. A trainer could be selected for good performance on the job, an ability to articulate ideas and communicate well, popularity among his peers, and/or for doing well in training himself. If an individual held certification for teaching a needed skill or expertise in a training area, he would be a likely candidate for a training position. Often trainers were selected because they showed an interest in the job. Regardless of the specific criteria used, the trainer was usually hand-picked from in-house staff by the training director. New trainers quite frequently learned how to do their jobs by receiving tutoring from and watching veteran training personnel. They were often placed on a probationary status until approved for the job. Some formal training received was through attending NIC "Training for Trainers" workshops. The "risen through the ranks" trainers usually conducted courses that

dealt with departmental policies and regulations and were geared primarily to development of basic job knowledge. Their instructional duties were often limited to basic orientation courses. High level staff rarely were involved in any programs taught by subordinate workers and were more likely to attend outside training sessions.

The training supervisor, coordinator, or director was selected more on the basis of credentials. Applicants were screened for prior training experience (that often came with past work in the government, military, or education), field of education and degree held, and background in the correctional system. The training director was more likely than the trainer to have been recruited from a job external to the system.

In addition to the regular full-time training staff, ex-trainees were used temporarily as adjunct trainers. A large number of trainers worked on a part-time loan basis, taking time from their regular jobs in correctional facilities. Practitioners, academicians, and community leaders also contributed part-time to programs, appearing as guest lecturers or advisors. Consultants specializing in training were frequently employed, but used sparingly because of a shortage of funds to cover their fees. The consultants were usually selected for their specialty and credibility in the field. Word of their performance was passed along the grapevine.

On the whole, training personnel received minimal rewards for their efforts. Job security was shaky, with training given low priority on the budget scale. (But not always. In some of the programs visited, the trainer position was a distinct, formal step up the career ladder, and quite coveted.) The job of a trainer entailed long hours of work, with no commensurate overtime pay like that available to a line officer or regular facility staff. A common device used by training directors was to credit the trainers with unofficial compensatory time. Quite often though, the trainers amassed a great number of hours, and because of an overloaded schedule could not take time off. Incentives for a job in training were the opportunities for advancement and promotion in the system. For some

(particularly line officers in prisons) a job in the training unit would mean removal from what might be viewed as a more stressful work environment.

Selection of Participants

In all cases there was an attempt to select training participants on the basis of job relevance--to establish similarity between an applicant's responsibilities on the job and program content. (It was noted earlier that job descriptions were occasionally used for this purpose). Selection criteria were quite standard across sites, with basic requirements being that: the trainee spend a minimal amount of time on the job for which he is receiving training, has administrative support while in training, has the ability to use the training back on the job and (unless attendance is mandated) is attending training voluntarily. If the goals of the program were to enhance organizational change through training, it was sometimes required that the trainee and his organization demonstrate prior to the session a commitment to use the training. With training programs of this nature, there was an effort to select trainees having the desire and capability to act as change agents. An occasional program selected participants using the top-down training approach with the goal of providing training to administrators and managers who could, in turn, pass information along to their staff. The desire to have a diversity among participants and the use of community teams for training was mentioned earlier in discussing the job population.

Programs, in general, attempted to take into account the degree of need each applicant had for the training. How much training the individual people within the applying organization and jurisdiction previously received were variables here, with the desire to provide training on a fairly equal basis. In addition, if laws within a jurisdiction had recently changed (e.g., more power to employee unions, more training mandated) and correctional workers were not prepared to cope with it, applicants from this area would be given priority for admittance into a program that would help equip them with needed skills.

At this point it may be worthwhile to note that training programs, particularly those for prison personnel, were forced to cope with a rather severe problem of talent shortage. The job of the correctional officer offers minimal financial reward and often requires irregular hours of work. Working in a prison is not often a prestigious or intrinsically rewarding position (not to mention the risk involved). Given so few attractions--even disincentives for taking a job in the prison system--quality of applicants for line correctional officer positions was sadly low. Regardless of how appropriate to the job the training may have been, a lack of trainees with adequate prerequisite skills and aptitude foils training efforts. Because of severe shortage problems, some trainees hired are very young and inexperienced. Many have poor work histories, and some cannot read and write adequately. Correctional personnel training should not have to deal with literacy training.

Training itself, for correctional officers often seems to be associated with serious manpower problems. Because of poor pay and the perceived undesirability of the position, the institution usually is understrength in correctional officers. (At one institution visited, where the mandated strength was 150 correction officers, they characteristically were 15 understrength, with an annual turnover rate of 50 percent.) When correctional officers are picked for a course--15 or so at a time--other officers must cover their posts on overtime for the duration of the training. So a significant proportion of the correctional officer staff may be working extra hours most of the time. Yet at most institutions, the budget is not sufficient for any overtime pay, so overtime is paid in compensatory time--which the officer accumulates and never gets to use until he or she terminates. The net effect is that there is little enthusiasm among those staff members who are back "tending the store," while others are being trained, since they are going to have little chance to use their compensatory time; and a high proportion of those trained are likely to leave the organization as soon as they find a better job. This problem surfaces time and time again and the implications for training are severe, as will become apparent in this report.

Training programs were publicized by means of mailing lists kept up by the training organization. Included on the lists were ex-trainees, various local and state corrections agencies and departments, and professional groups such as the National Sheriff's Association. Workshop and conference dates were often advertised in professional journals. Much of the news was circulated among practitioners by word of mouth.

The size of training classes ranged from 8 to 30 participants. There was always an effort to keep the classes small (around 15 to 20 participants), yet to maintain a cost-effective program. The majority of the trainees were male, but there appeared to be an increasing number of females involved in training, particularly in programs for juvenile workers (cottage parents, halfway house counselors). Despite the increasing number of women in classes, a substantial number of prison line officers maintained a strong resistance to working with women.

There exist few formal incentives for trainees to attend and perform well in training. Upon completion of training, participants often receive certificates and in some cases are eligible for college credits through CEU programs. The opportunity for personal growth and promotional gains is an attraction, although it is an unguaranteed and less tangible payoff. A very few programs offer financial reward for completing training. Some trainees attend training merely for a change of pace from their usual job.

Select Training Sites

The selection of training sites had a lot to do with what facilities were available or which provided training at the least cost. When given options, other considerations were proximity and accessibility of the site to the majority of trainees, the community climate, and availability of qualified and affordable consultants. Often programs were located close to a college or university where resources and facilities could be shared. Programs found adjacent to correctional facilities had the advantage of sites for field trips. Training settings ranged from retired seminaries to revamped warden's houses to hotel conference rooms. Some

provided environments less than conducive to working, but trainers made the most of their accommodations and attempted to provide comfort with minimal distractions.

Implement Training

Duration of training program, frequency, and length of classes varied with each program. Generally, workshops and special topic seminars ran for a week or two; basic orientation courses ranged from two to six weeks of training. The training day was without exception long, intense, and fast-paced. Attendance, drop-out, and failure problems were minimal. Excepting basic training programs, policies for handling absenteeism were left up to the home organization of the trainees. In orientation programs, absenteeism was limited to a preset number of days (and then had to be excused), and failure to attend often resulted in loss of a day's pay. Excessive absenteeism warranted dismissal from the job.

Information on funding and budgets was also quite limited, if available at all. Funds were generally obtained through federal grants from sources such as LEAA or NIC. State agencies also provided special funding or a match for federal monies. Occasionally, private foundations or organizations funded programs. In-house training units were often not given an official training budget; their resources were drawn from general funds or those allocated to various departments within the agency. The major part of the money obtained was absorbed by staff salaries (including overtime and replacement costs) and travel expenses, although some grants were specifically tied to the purchase of equipment or improvement of facilities. The cost of putting a trainee through a training session was contingent upon a wide range of factors--program structure, length, location, staff, and resources used. Estimates of the cost of putting one trainee through a week of training ranged from \$70 to \$700, depending on the program. Methods of calculating these figures varied a good deal.

Data reflecting specific implementation information, such as length of training, numbers trained, and distribution of funds is presented in the discussion of survey results. It was felt that information of this nature should be obtained from the survey, instead of using valuable site visit time.

Outcome

Parallel to a lack of sophistication in conducting needs assessments, there existed very few formal evaluations of training projects. Most often, efforts to evaluate training relied on pre- and post-tests of program content to determine skills and knowledges learned, or satisfaction measures (i.e., "What did you like most about the program?") taken at the close of training. Some trainers requested that participants list their expectations for the training at the beginning of the session. Upon completion, these expectations were compared with reports of whether or not they were met. One program had personnel conduct random interviews with participants in order to obtain evaluative information. A few impact evaluations were conducted. There were frequently informal, dealing with supervisor reports of on-the-job behavior of trainees. Estimates of change resulting from training were sometimes based on requests from trainees for follow-up technical assistance. Other measures of effectiveness on the job were the number of law suits or grievances filed against an employee; or for interpersonal skills training, the number of sincere requests for help a correctional worker received from his wards. The frequency of physical force used in settling disputes was one indication of the impact of Crisis Intervention training (a negative relationship was desired, of course). Although interviews with trainees revealed that some of the most significant changes resulting from training were attitude changes--increased self-confidence and a more comfortable feeling back on the job--evaluations rarely addressed these impacts.

The few formal evaluations that took place were conducted primarily by outside consulting firms or individuals who were awarded grants or contracts to assess training impact. These evaluations were likely to

include follow-up investigations of change in organizations where personnel had received training. Some assessments incorporated an experimental design comparing staff performance and attitudes of personnel in units that had received training with groups that had not been trained. The fact that most extensive evaluations were conducted by external consultants could lead one to suggest that training personnel within the system often do not have the technical skills needed to carry out formal evaluations. This observation, however, would be extremely difficult to validate, since training staff members frequently attributed the failure to evaluate programs to a lack of time and resources. Chapter X of the report covers in depth issues surrounding training evaluation and the state of such activities in corrections. An evaluation model for use by correctional training personnel, the utility of which will be tested in Phase II of this project, is presented in Chapter XI.

Overview

The analysis of the 17 site visits in relation to the Instructional System Operations Model has revealed several similarities in terms of how the programs dealt with the training process. It has been learned that there are very few needs assessments or formal evaluations conducted for training correctional staff. The gap occurs in linking training to performance on the job, especially in relation to clearly defined, standardized performance requirements. The training itself, in terms of instructional methods and materials, is conducted in a fairly sophisticated manner. The analysis suggests that more attention needs to be given to the identification of training needs, in order to build programs that are compatible with the job. The use of follow-up evaluations can help identify whether or not the program is working. Control over whether or not these tasks will be accomplished is not entirely in the hands of the training personnel. In referring to a point made in the introduction of this analysis, it is essential to remember that adherence to the model does not unconditionally guarantee smooth implementation of training and promise desired outcomes. Program planners who attend to the internal issues outlined by the model, may be unable to accomplish the goals of

the program because of the impact of factors external to the training process itself. In this sense, implementation of training entails consideration of more than the internal process. The final portion of this chapter includes a discussion of several factors within the work environment, or the home organization of correction workers, that we found to have an influence upon training; particularly on the development of training programs and the subsequent utilization by correctional workers on their jobs of skills, attitudes, or knowledge learned in training.

The Work Environment

There is a complex array of forces operating in the work environment that impact upon training. Formal organizational structures of institutions and agencies that dictate how policies and decisions are made and implemented; organizational communication and information flows; informal work norms and staff relationships; union activity among staff; and the nature of client populations are but a few of these forces. Each of these forces independently or in conjunction with one another can act to facilitate or hinder the development of training and its use. A discussion of these elements follows.

Organizational Structures

Organizational policy and procedures that prescribe what employees are to do in carrying out their jobs and the manner in which they should perform their duties can act to drive training development and to reinforce training, or "wash it out" on the job. If correctional workers, for example, receive training on "the proper way" to conduct a presentence investigation that is inconsistent or at odds with organizational policy and procedure regarding how to go about the job, the trainee is put in a bind and may very logically discount the training he or she has received. It is easier and safer for a correctional worker to decide "if it's not in the manual, I won't do it," than to implement training that is not reinforced in practice. On the other hand, if official policy and procedure are consonant with training content, there exists a far greater chance that those things learned will be reinforced and utilized on the

job. One training director interviewed, remarked that the training unit would not conduct specific programs unless departmental policies specified that trainees utilize their acquired skills on the job.

The kinds of training developed and the on-the-job utilization of training may additionally be influenced by the power accorded a training unit or training director (the position of such an individual may, of course, be a function of the perceived importance of training in the organization). At several training programs visited, the training director/officer reported directly to the agency director, or was part of the administrative or management council. In those cases, it appeared more likely that training developed and implemented reflect the concerns of managers, and therefore, had been given strong agency support through agency policies specifically designed to reinforce training. In a few instances, it was suggested that training programs conducted for agency employees that were either mandated or developed by those outside the agency (e.g., state-wide academy-based training for correctional officers) were not always specific enough to reflect agency needs. When this occurred, training had a greater likelihood of being washed out in the work place.

Organizational chain-of-command, the quality and structure of the agency's information and communication flow may also influence training development and utilization. If agency communication flow is one-way (top-to-bottom), the training needs felt by line level staff may not be communicated adequately to supervisors, or little effort will be made to enlist the support of "bottom-of-the-line" trainees for training programs conceptualized and implemented by top agency administrators. The lack of adequate provision for a two-way communication flow between line staff and administrators appeared in several training programs as a weakness that impacted upon the effectiveness of the program. In other programs, conscious efforts were made to involve line staff in program development or to adequately prepare employees for training that would herald changes in their jobs and to insure the success of the training program.

Work Place Norms

Organizational influence on the development of training programs and their on-the-job utilization by employees is not restricted to formal organizational structures and policies. Informal norms of the work place and staff relationships exert powerful influence as well, particularly in the utilization of training. A classic example is that of a new correctional officer who goes through the academy and once on the job is told by experienced co-workers that it is impossible to get the job done following the procedures learned at the academy, or is informed by his peers, "we don't do it that way." In addition, the new worker may realize on-the-job that the statement of organizational goals, including the way he or she should relate to clients as taught at the academy, bears little resemblance to the older, more experienced worker's perceptions and actions. These discrepancies tend to wash-out rather than reinforce training. Innovative training programs that might bring about changes in traditional staff relationships, team approaches to treatment, or service delivery, for example, may be resisted by staff who feel their job autonomy or job functions are threatened by such changes. Such attitudes and resistance on the part of staff may inhibit the development of training programs that, if implemented, would improve service delivery or ultimately benefit workers.

Staff Unionization

Unionizing has been part of a growing desire for "professionalism" by correctional staff, as well as an effort on the part of correctional workers to insure that they are adequately paid and adequately protected on their jobs. In conducting site visits, we encountered examples of the ways in which the power of staff unions promote and hinder the development and conduct of training programs. While unionism has generally been described as a positive influence in the provision of staff training, in one instance, training and management personnel felt that union activities had interfered in the conduct of their training programs. While the union does not oppose training itself, there are objections to the conditions training engenders that may infringe upon employee

rights. For example, unions have failed to support staff participation in training programs when such participation is not specified in the union contract, or when the agency is not able or willing to pay overtime for participation in training activities that occur outside of working hours.

More frequently, however, union demands necessitate the development of needed training programs by employing agencies. Recently, in several states, correctional staff unions have won the right for previously unarmed correctional workers to carry hand guns on the job, which forced correctional agencies to quickly develop and conduct firearms training for staff. Training programs in arbitration and collective bargaining have been implemented in order to prepare correctional management personnel to act as effective advocates in labor-management disputes.

The Revolt of the Client

Another force observed as having an effect on the development of training is what might be called the "revolt of the client." There has been a growing sophistication and awareness on the part of offenders concerning their individual rights. Concurrently, there has been a growing client militancy represented particularly by organized violence and gang activity in prisons. Specific training for correctional staff has developed in response to these inmate activities: programs have been instituted in correctional law for correctional officers so that they will have a better understanding of what they legally can and cannot do vis-a-vis their clients, so they will not intentionally or unintentionally violate clients' rights and make themselves liable. There has been a growing emphasis in basic and entry-level training programs on how staff should behave to best insure their safety, as well as on the development of more specialized training courses about gangs and how to cope with gang activity on the street and in prisons.

Summing Up

We have described a number of forces operating in the work environment that influence training. The examples chosen have shown the complex way that training development, and utilization in particular, are

shaped by forces in the work place. It is evident that the same forces that promote training development and on-the-job utilization of training, can as well hinder efforts aimed at developing and reinforcing training. The external environment (the socio-political arena within and surrounding the criminal justice system), and its influence on both the work environment and the training environment will be taken up in Chapter VI.

CHAPTER VI
THE CORRECTIONAL ENVIRONMENT

The ease with which one can discover questions on which little or no systematic research has been done suggests that the subject of organization-environment relations offers opportunities for quick, dramatic research progress (Starbuck, 1976, p. 1099).

INTRODUCTION

The impact of environmental forces on correctional organizations has not been systematically explored. Most, if not all, of the studies in the field of corrections have focused on prison environments and their effects on both staff and inmates (Clemmer, 1958; Johnson, 1975; Toch, 1977). Relatively little attention, has been focused on how correctional agencies are affected by their environmental context. The degree of political support in terms of securing necessary resources, pressures from other criminal justice agencies limiting program options, and the reluctance of community agencies to provide services to offenders are but a few of the environmental forces affecting correctional agencies. While some writers have identified these issues (Miller, 1958; Treger, 1965; Weiner, 1973), few have adequately defined organization-environment relationships or sufficiently explored them in either a theoretical or empirical manner.¹ The significance of correctional staff training programs, in particular, has been neither conceptualized or studied in relation to the organizational and interorganizational context in which these programs emerge and operate.

In our efforts to understand the dynamics of correctional training programs, we have become acutely aware of organization-environment relationships. We started our study without any predetermined agendas concerning the role of training in an organizational setting. Our starting

¹Some exceptions are the work of Mathieson (1972), who explored how the effects of a prison's social environment shaped its internal affairs, and Weiner (1977), who examined barriers to interorganizational cooperation between correctional agencies and the various community agencies identified as current and potential referral sources for offenders.

assumption, if anything, was that training programs represented an aspect of an organization's system for providing its personnel with the knowledge and skills required for task performance. That is to say, we assumed that training was functional to meeting organizational goals and objectives. Our intensive field study of 17 diverse correctional training programs geographically dispersed throughout the United States provided us with data which suggested that training programs less often serve goal achievement purposes and more often serve as strategy for coping with environmental demands and pressures. What seemed to be conspicuously absent was an explicit alignment or linkage of organizational goals to the environmental conditions in which an organization operated. On the occasions when training was developed and offered by integrating goals within the environmental milieu of the organization, it seemed to be the most clearly focused, best understood, and most capable of being used by agency personnel. As a means of helping to better understand this unique work-environment context for correctional personnel, we first present a theoretical framework, and follow with an analysis of how training programs operate as a response to environmental conditions.

THEORETICAL FRAMEWORK

Efforts to understand the impact of the environment on correctional agencies are relatively new. In fact, some correctional scholars have argued that the prospects for "rationally transforming corrections" will probably remain bleak until we learn more about the interaction of environment and organizational behavior (Shover, 1979).

For the most part, we can address this issue by examining the extent to which correctional organizations are affected in pursuing their goals by other organizations in their immediate environment, or what Dill (1958) refers to as the task environment. Correctional organizations are uniquely dependent upon a variety of influences in their task environment that enhance or hinder their program objectives. Other criminal justice organizations, human service delivery systems, the political configuration within the local community, unions, business, and industry are but a few of the task environment influences that have a direct effect on correctional organizations.

Carter (1972), for example, has discussed the organization-environment problem in the context of diverting offenders from correctional agencies to other agencies in the community. From his standpoint, communities vary considerably on the extent to which they can provide necessary services and resources to offenders, and, therefore, on the degree to which they may participate in diversion programs.

One step out from the immediate task environment is the larger ecological or systemic environment. The ecological environment operates on a global level to influence change in a highly complex manner. For the most part, forces and changes in the broader political, social, economic, and technological environments occur with such rapidity that they are difficult to monitor. As a result, analyzing or successfully understanding their short-term or long-term consequences is often near impossible. High rates of unemployment and continued inflation, as well as energy and resource scarcity, produce social and political changes that frequently hinder support for humanitarian programs. Thus, in some instances, the structure and climate of the larger social system may impede the creation of a local task environment in which adequate provision can be made for certain segments of our citizenry. In discussing some of the problems inherent in the community corrections field, Greenberg (1975) has argued that the community corrections movement may be largely irrelevant because of its inability to change the environmental context of the offender. He cites as an example, "the extent to which high levels of unemployment and structural features of the labor market...hinder the ex-offender from pursuing a lawful style of living in the community" (p. 5).

While some correctional scholars have recently begun to address the organization-environment problem, Weiner's (1977) study of factors that enhanced or hindered interorganizational cooperation between the network of correctional agencies in a city and the community service agencies in their task-environment represents one of the few empirical efforts to expand our knowledge in this area. He found competition among the eight correctional agencies for scarce community resources to limit their openness to interagency cooperation available from the human service

agencies. In addition, correctional agencies and their personnel failed to understand the complexity of their environment, and were consequently unable to develop effective strategies for negotiating cooperative inter-agency working agreements. In a similar study of 30 community mental health centers, Nuehring (1978) found that directors and other key administrators did not have systematic ways of thinking about their inter-organizational task environment, the directional flows of exchange between agencies, and the magnitude of dependency relationships that become routinely established, and that characterize interaction between organizations.

In considering organization-environment dynamics, the concept of exchange represents an important idea that is not very well understood by correctional practitioners and scholars. Efforts to secure community resources and services for offenders are clearly an important part of the primary task of probation and parole agencies. In many respects, these agencies have been unsuccessful in developing the skills and knowledge required for negotiating exchange relationships with the community agencies comprising their task environment. Correctional clients have not been readily accepted by the community of social, health, and welfare agencies. Treger (1965) and Mandel (1973) have identified a variety of factors limiting the effectiveness of correctional agencies in establishing and maintaining cooperative exchange relationships with community agencies. Fear of correctional clients, poor professional image of correctional workers, and inadequate respect for the referral policies and procedures in community agencies are cited among the more negative characteristics hindering cooperative working relations between these agencies.

Placing clients and securing resources presents problems. These problems seem to confront correctional agencies on their output side; that is, on the degree to which they exhibit competence as people-processing

organizations (Hasenfeld, 1972)² by placing their clients for service. Hasenfeld (1972) identifies this as an intelligence deficiency problem, in the sense that organizations, to be effective, must gather information about potential market units in their environment. By failing to do so, correctional agencies may limit the range and scope of their exchange relations with other relevant organizations in their organization-set (Evan, 1966).

On the input side, correctional organizations are vulnerable to forces in their external environment in terms of securing the necessary resources and political support required for carrying out programs other than mere incarceration or punitive surveillance. Parsons (1956) refers to this as the problem of mobilizing fluid resources necessary for organizational goal attainment. He argues that this task is the primary adaptive exigency for any organization vis-a-vis its relations with its external environment.

Examining correctional organizations and their relationships with their task environment from this open systems perspective enables us to understand many of the problems confronting these agencies. Their internal structures must be sufficiently organized to handle the complexities presented by both their input and output sides. These boundary-spanning transactions require that correctional organizations create effective operational procedures for adjusting and relating to their environment.

Brown (1966) argues that there are three levels of decision-making within organizations--the institutional level (concerned with broad organizational objectives), the managerial level (concerned with resource gathering, coordination, and allocation), and the technical level (concerned with acquisition and use of technical knowledge--all of which

²Hasenfeld categorizes human service organizations as either people-processing or people-changing types. The former are defined as attempting to achieve changes in their clients not by altering basic personal attributes, but by conferring upon their public status, and disposing of them by referral to other agencies. This classification and disposition function represents the extent to which service is provided. People-changing organization, on the other hand, are directly involved in efforts to change personal attributes of their clients.

involve boundary spanning activities. In order for an organization to maintain both its internal operations and its position of dynamic balance within the environment, it must create an internal structure that allows it to regularly search its environment for new information related to the three levels of decision-making identified by Brown. In our judgment, most correctional managers fail to understand the necessity for using this open systems framework as a means of balancing the demands from the internal and the external environments. As a consequence of failing to gather information that could be used for planning strategies to minimize or reduce changes that impinge upon them, correctional agencies become highly vulnerable to forces in their task environment.

Correctional organizations, then, can be characterized as being inadequately prepared for the constant interruptions and fluctuations in their environmental field that they experience. According to Thompson (1967), this condition produces a low degree of "technical rationality" on an instrumental level (e.g., whether the specific actions do in fact produce desired outcomes), and on an economic level (e.g., whether the results are obtained with the least necessary expenditures of resources). Organizational rationality is a result of: (1) defining constraints the organization must face, (2) planning for contingencies the organization must meet, and (3) identifying the internal and external variables that the organization can manage. If the correctional organization has no system for allocating priorities to deal with organization-environment transactions under normal, as well as adverse conditions, then technical rationality becomes impossible and organization action becomes merely random (Thompson, 1967). We tend to believe that correctional agency success or failure provides no exception to Osborn and Hunt's (1974) conclusion regarding organizational effectiveness--that it is influenced markedly by the manner in which the organization attempts to link itself with the environment.

How well organizations are linked to their environment depends in part on their competence in collecting information and processing its potential impact. To some extent, this requires that correctional organizations ascertain the amount and sources of support for its goals from

relevant political and social institutions (Thompson & McEwen, 1958). It may also require that organizations search for new allies and for new methods of relating to other organizations by pooling resources, providing jointly sponsored programs, and other forms of formal interdependence. As Terryberry (1968) has stated, viable organizations are characterized by an "ability to learn and to perform according to changing contingencies in the environment." If a correctional organization has no formal mechanism built into its organizational structure for assigning personnel to boundary-spanning roles (people responsible for information processing and external representation), information that can be useful to the organization may not be obtained in a timely manner for accurate processing and planning. Without having role incumbents adequately trained and responsible for communicating vital information to key decision makers, decisions are often made in a state of confusion precipitated by errors, by failure to provide relevant information, or both. Boundary roles provide a "main line of organization defense against information overload" by their dual functions, acting both as filters and facilitators in the transmission of information from both within and outside the organization (Aldrich & Herker, 1977, p. 218). If, for example, correctional organizations fail to gather and process information on changing prison conditions, riots are liable to occur and to cause unnecessary death and destruction. If probation or parole agencies fail to adequately assess the availability and quality of various community resources or to determine the level of political and neighborhood support for halfway house programs, they are likely to have a deficient resource base for their programs.

Our review of the theoretical literature has underscored the importance of training programs being linked to organizational goals that reflect an accurate assessment of environmental conditions. Knowledge and skill attainment can be of most use to personnel when viewed from this perspective. Corrections can no longer afford the luxury of shortsightedness and insularity. Once located in a placid environment, correctional organizations must now contend with environmental turbulence. The failure to adequately perceive environmental conditions or demands, whether

external or internal, and to communicate valid and reliable information across organizational boundaries, represents one of the most serious problems confronting correctional administrators and those assigned responsibility for developing training programs. Training programs that make little or inaccurate reference to internal or external conditions in the environment become little more than windowdressing.

TURBULENCE IN CORRECTIONAL ENVIRONMENTS

Correctional organizations have undergone noticeable transformation during the past two decades as a result of a myriad of forces. Basically, they have declined in legitimacy as rehabilitative people-changing systems. Support for rehabilitative programs from both the public and political sectors, as well as from the more liberal academic community, has diminished in the face of attacks on the competence of corrections to help offenders in becoming law abiding citizens (Martinson, 1974). Perhaps it was never possible to successfully "rehabilitate" or "reintegrate" offenders within the community, given the conflicting nature of the mandates to both control and help offenders. Having retrenched from the rehabilitative ideal, correctional organizations now seem to be struggling to maintain control over their wards while coming increasingly under attack by the media, the courts, and advocacy groups, for the manner in which control is maintained. These attacks typically feature ambiguous and conflicting demands. "Citizen vindictiveness against street criminals," as noted by Johnson and Price (1979, p.3), "contrasts ever more sharply with the ardor of the courts for prisons marked by the unlikely union of justice, punishment, and meaningful work and treatment programs." Community correctional organizations, such as probation and parole agencies, have been scrutinized and held to stricter levels of accountability with respect to the violations of those under their supervision. At the same time, they have been faced with pressures from defense attorneys who demand that they justify revoking the freedom of offenders to remain in the community, when the agencies have typically provided only limited service to offenders under community supervision.

This decline in support for rehabilitative programs, whether in prison or in the community, has not occurred in a vacuum. Environmental turbulence is a dominant characteristic of modern society, which affects both our global international relationships, and our nation's efforts to struggle with domestic complexity and uncertainty. This decade has produced a shock wave of economic and political crises in many countries. Terrorism and militancy represent an increasingly prevalent mode of behavior among groups who feel disenfranchised. Such behaviors challenge the legitimacy of existing social, political, and economic arrangements, and represent uniquely trying problems for corrections (cf., Glaser, 1971; Johnson & Dorin, 1978; Dorin & Johnson, 1979).

External assaults on social institutions have taken their toll. Confidence in our political and economic institutions appears low. Governments have been less able to control the market economy; increasingly, their status as legally honorable and moral institutions has been called into question. It has even been suggested that our basic political, legal, social, and economic institutions are out of control, reeling from forces not fully comprehended. Environmental factors seem to pull us in different directions at the same time. Bureaucracies, formerly capable and responsible for managing diverse sectors of society, seem less able to do so. Unintended consequences of ill-conceived politics seem to magnify themselves in every contemporary society, adding to the already substantial pressures with which social institutions must contend.

Turbulent environments create conditions of intolerance, disobedience to authority, and a reluctance to cooperate among individuals, groups, and organizations. Instead of recognizing our interdependencies, we become fearful and defensive. Sometimes we seem almost paralyzed by the conditions that beset us. On an organizational level, we find that efforts to ward off the anxiety generated by the turbulent environment frequently are unconscious, and of little value beyond meeting basic survival needs.

Responses to Turbulence

In analyzing our data from the 17 site visits, it became apparent that correctional organizations operate in turbulent fields, both in their

immediate task environment and in the larger ecological-system environment--in mine fields that may explode at any moment. Turbulence appears to seriously hinder correctional agencies in their planning capabilities and decision-making responses. Our interview with correctional administrators, trainers, and trainees revealed that this turbulence within which most correctional agencies operate affected their personnel in many negative ways, particularly with respect to job performance and job satisfaction. The following conditions seem to be characteristic of correctional personnel working under conditions of internal and external turbulence.

- Increased stress, tension, and anxiety
- Fear, both psychological and for physical safety
- Uncertainty with respect to resource availability and acquisition
- Immobilization by stress and unwillingness to assume risks
- Overwhelming complexity of problems in terms of understanding their source(s)

Many of the correctional officials whom we interviewed seemed to believe that personnel working under such high-stress conditions react in ways dysfunctional both to themselves and to the organization. They seemed to experience:

- Anger--towards their employing organization and their clients
- Anxiety--over being scapegoated for mistakes or errors outside of their control
- Job dissatisfaction--turnover and absenteeism problems
- Confusion and ambiguity--conflicting demands regarding what is required of them and what they can count on in the way of organizational support
- Impotence--what they do has no intrinsic value or makes little difference

- Alienation--feeling exploited and used by their organization and, in some instances, by the larger society
- Burn-out--frustration-induced, self-protective, unwillingness to expose self to more than minimal emotional involvement in work situations.

Some of the interrelations among these characteristics and responses are shown in Figure VI-1.

We have presented a rather general conceptual framework for understanding the environmental forces influencing and shaping correctional agencies. The extent of turbulence, however, appears to vary significantly from community to community. Some correctional systems operate in highly turbulent fields with little control over the forces in their local community, let alone in the larger ecological environment. On the other hand, some correctional agencies may have support and power in their local task environment, but may experience relative powerlessness in coping with larger system forces, such as large scale unemployment. Organizations operating in the midst of turbulence in both the task and ecological environment undoubtedly work to survive as best they can; organizations in placid task environments may possess, or are able to develop, the competence to adapt to changing conditions in the larger ecological environment.

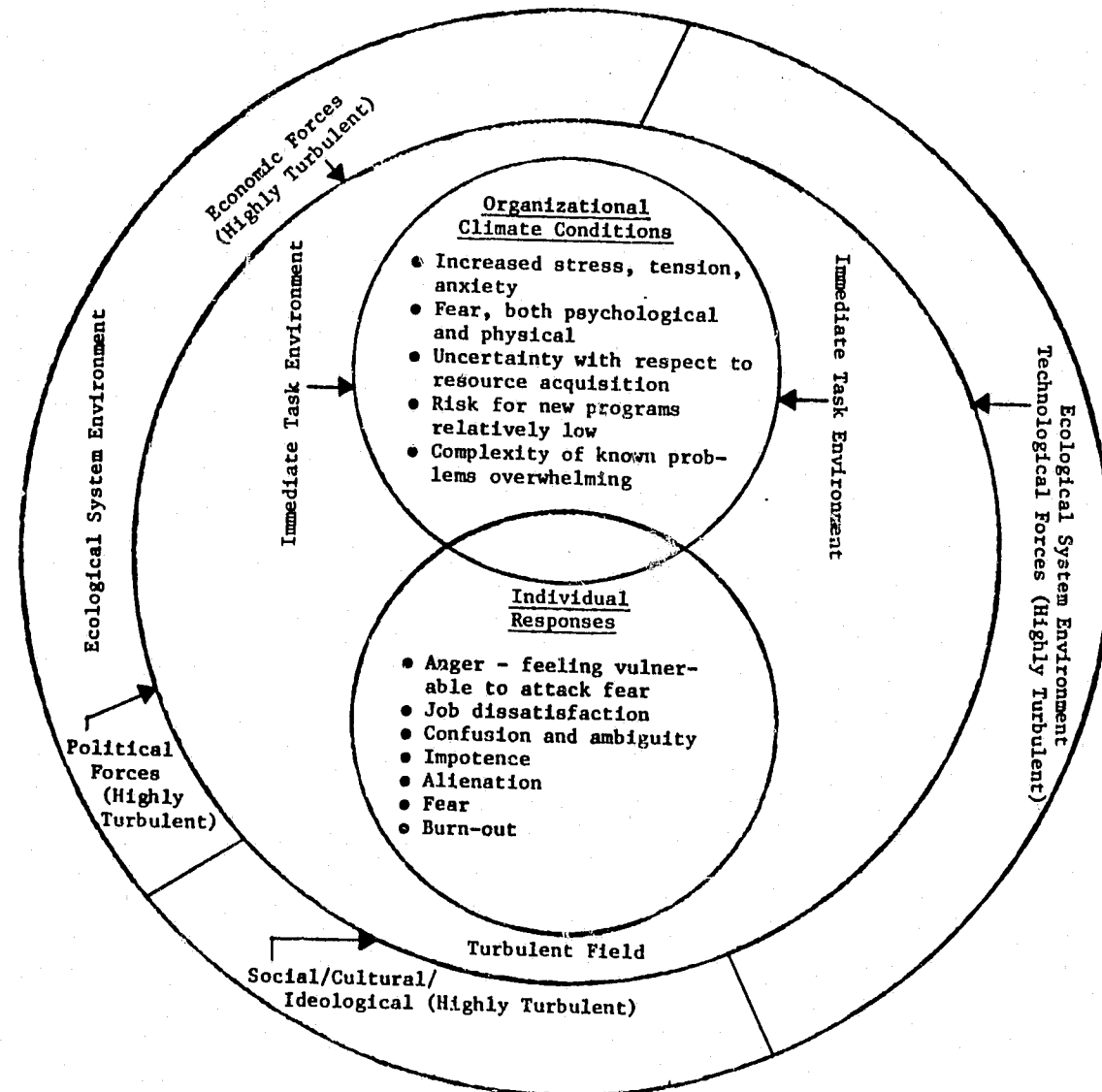
Contributions to Turbulence

Analysis of our site visit data reveals a strong relationship between perceived environmental turbulence by correctional agencies and a decrease in organizational effectiveness. We have chosen to call this relationship the Correctional Turbulence Line (see Figure VI-2). As the degree of complexity and turbulence increases in the environment, there is a significant reduction in access to resources, and in the ability of correctional organizations to make and control decisions about their own organizational destiny.

Twelve distinct stressors were described by correctional workers:

- 1) A rising militancy of offender populations, with more frequent and direct confrontations and challenges to authority.

Figure VI-1. Turbulence in the Correctional Environment



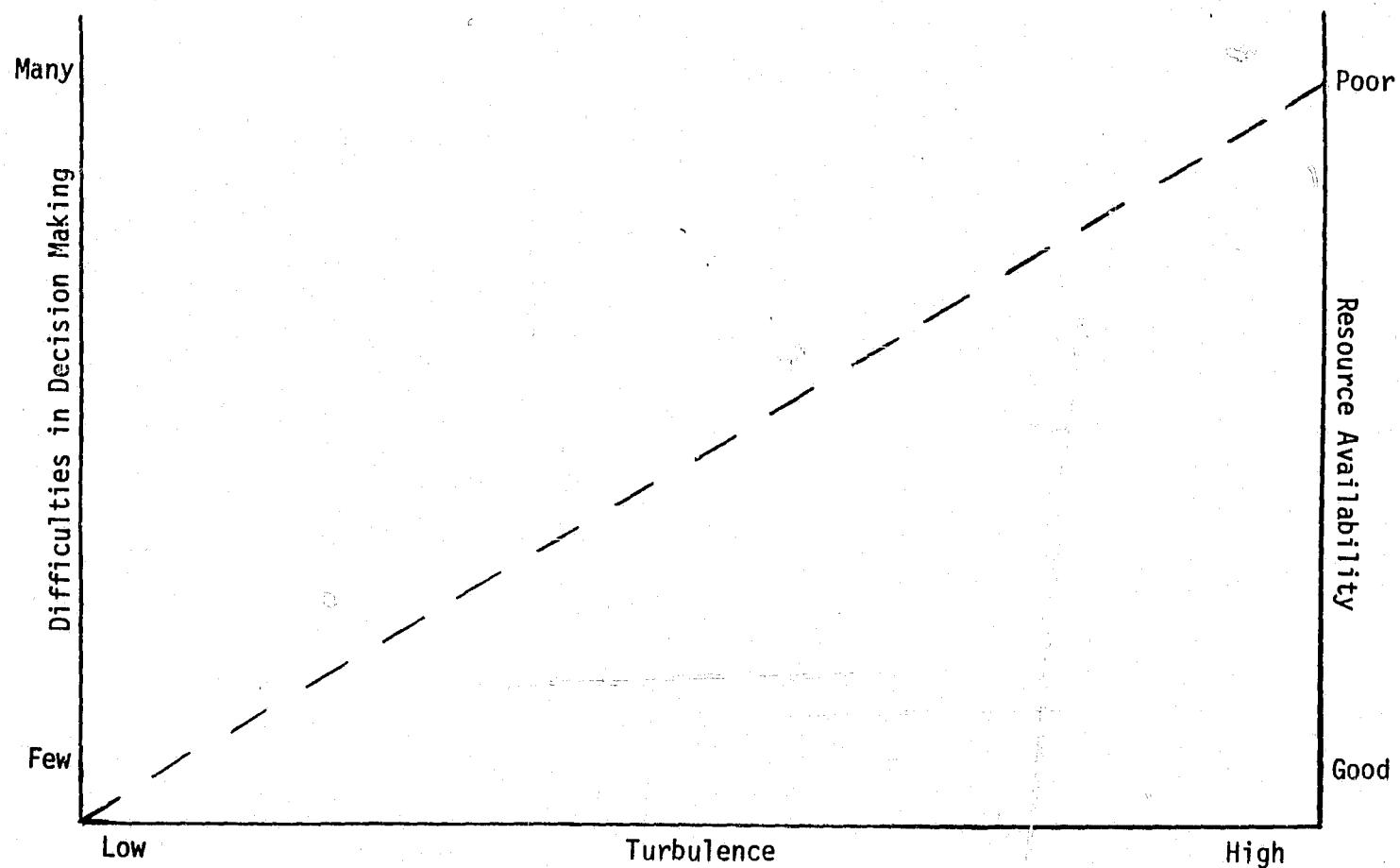


Figure VI-2. Correctional Turbulence Line

- 2) An increase in the legal sophistication of offenders and in direct challenges to correctional policies and practices.
- 3) An increase in the types of new offender populations, especially Hispanics, being handled by correctional agencies.
- 4) Correctional agencies becoming increasingly more open to public scrutiny--particularly by courts, lawyers, and media, having access to prisoners.
- 5) Heightened public antagonism toward rehabilitative programs, particularly the expansion of community correctional programs such as halfway houses, work release programs, etc.
- 6) Indications that other criminal justice organizations are putting more pressure on correctional agencies to limit or halt entirely expanded community correctional programs.
- 7) A decrease in the funding of public and private human service programs in the local community.
- 8) Increased reluctance and often direct resistance on the part of human service agencies in the social, health, and welfare sectors to engage in cooperative inter-organizational relationships with correctional organizations.
- 9) Difficulty in assimilating affirmative action programs in the hiring of women and minorities in correctional agencies.
- 10) Rising militance among workers in the correctional field, as indicated by increased unionization.
- 11) Low level of managerial/organizational knowledge and competence to deal with the complexity of environmental turbulence, let alone intra-organization and management problems.
- 12) "Atticaism"--a realistic fear among correctional personnel that their own organization cannot be trusted to protect them in the event of a riot.

Examining these stress forces, we believe that correctional training programs are often instituted for reasons other than the simple enhancement of individual or organizational performance. Correctional training,

in fact, occurs less frequently in service of specific organizational goals and objectives, and more frequently as an organizational response or coping mechanism to deal with the stresses produced by the turbulent environment.

ORGANIZATIONAL RESPONSE TO TURBULENCE: TRAINING PATTERNS

The Correctional Turbulence Line depicted in Figure VI-2 highlights the differential distribution and impact of environmental stress across correctional organizations. Organizational responses to stress can be placed along a continuum ranging from survival, to adaptation, and innovation (Figure VI-3):

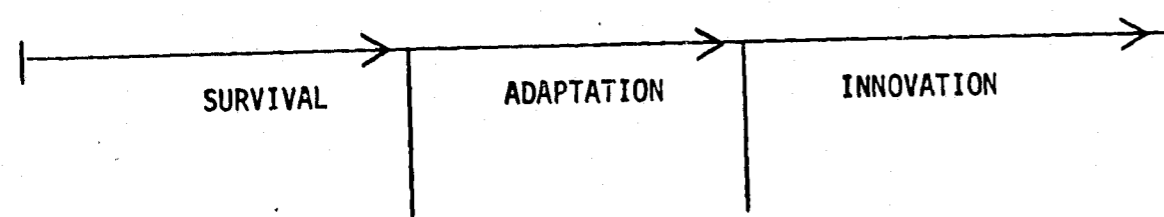


Figure VI-3. Continuum of Organization Response to Stress

Organizational responses to stress, in turn, are associated with training patterns that dovetail with the major needs of the organization and its personnel in their efforts to cope with environmental stress and turbulence.

Organizational Survival and Basic Survival Training: Internal Maintenance

Organizations in the survival mode can be characterized as assuming a passive, reactive, essentially myopic stance in the face of overwhelming stress. Whatever the ultimate source of stress--the organizational environment, the task environment, or the ecological environment--priority is given to efforts directed at coping with problems within the organization itself. Stress here allows only barely assimilable inputs to the organization. Responses are geared to keeping the organization open, to keeping the flow of people and paper moving, and to avoiding catastrophies.

The organizational survival mode is illustrated by the maximum security prison. By all accounts, the prison is a setting in which it is increasingly an achievement to maintain the appearance of order--to get prisoners to

and from yards and program areas and back to their cells without incident. Basic survival needs dictate the training requirements. Training in this situation is summed up in the admonition to trainees that "everybody is going to get hurt, if we don't do this right."³

The objective of basic survival training is to produce proficient custodians wedded to organizational policies, procedures, and rituals, and who are able to walk through the interpersonal mine fields without setting off explosions. Survival-trained officers are equipped to perform basic custodial tasks. They are trained, for example, to conduct counts and attest to them in records; to transport prisoners without incident or injury; to wear authority with some ease and consistency, thus conveying towards a message of competence and fairness; and, in general, to relate to inmates in nonabrasive ways, avoiding the use of racial epithets, personal slurs, and other incendiary comments or styles of interaction.

Survival-trained officers step gingerly in instable prison environments. Policies and procedures, they have been told, are critical to their organization, to their jobs, and to their safety. They have learned ploys to keep inmates at bay and have been alerted to the pitfalls of their work and environment. Most importantly, they have been repeatedly assured that they are not alone in the prison; contrary to appearances, they are part of a team of custodians facing together the hostile prison environment. It is perhaps this self-confidence, born of membership on the custodial team, that comprises the key ingredient of basic survival training, and that makes it possible for nascent correctional officers to enter with a modicum of poise in this difficult, dangerous, and generally unrewarding occupation.

³ James Fyfe, one of our colleagues at the American University, reminds us that training in prison is typically determined by administrators who started their careers as survival-trained line officers. Thus, they were indoctrinated early in a "management by crisis" mode, and were successful enough at it to rise to the top. Once there, they are likely to remain in the same survival mode, and are unlikely to make organizational changes that would take the agency out of its survival mode--doing so would cause themselves and others to question the legitimacy of the agencies they have risen to lead, and therefore, the legitimacy of their career success.

Basic survival training is sometimes supplemented by what may be termed advanced survival training. The essence of this training is captured by the command to trainees to "put out the fire before it consumes you."

Advanced survival training, like its basic counterpart, is most salient in the prison context. Here the objective is to provide already proficient custodians with elementary conflict management skills that make it possible for them to defuse impending crises, rather than to simply avoid, withstand, or ignore them. The courses provide workers with specific skills, such as how to stop and avert violent confrontations without resort to physical force, how to conduct a brief helping interview, and how to use referral sources. Since correctional officers are outnumbered by the inmates, the assumption is that custody and control incorporating a sensitivity and awareness of human problems is more reasonable than control through brute force and physical manipulation.

Training programs that publicly espouse human relations and helping goals may, in practice, actually provide little more than rote survival training. Chronic resistance to change, and the traditional fondness for custody, lurks behind these admirable intentions to increase the worker's repertoire of interpersonal skills--while drilling the trainee in the mechanics and logistics of custody. This ploy, incidently, is not materially different from the tendency of top-level correctional administrators to preach treatment, but to practice custody (Toch, 1978).

Training in this context may carry considerable risks, beyond the confusion such double messages may produce. The real danger is that rote survival training conveys to trainees the slum dwellers' preoccupation with doing battle against overwhelmingly hostile environmental forces. Alerted to adversity and warned of the risks of individual initiative, staff assume a defensive, ritualistic posture. The official record is touted as sacred and institutional rules as scripture. The officer is schooled as a technically proficient instrument of absolute authority who carries out assigned tasks with calculated noninvolvement. If Milgram's (1975) analysis of obedience to authority applies in the

CONTINUED

1 OF 3

prison--and there is little reason to doubt this, since the prison's closed, authoritarian structure and punitive orientation is conducive to blind obedience--our survival-trained officer emerges as a carrier of a technician's morality. The good guard, in terms of the technician's morality, is the efficient guard. And though he is admonished to be both firm and fair, firmness is easier to specify and carry out than is the more amorphous and morally imbued concept of fairness. Inmates, then, become materials to be firmly handled and routinely processed, independent of the devaluation and dehumanization they may suffer as a consequence, and of the tension and violence such a regime may foster.

Prison problems, and particularly prison violence, are interpersonal in origin and nature. The pressures that set off these explosions have a way of lingering on in tense prison environments, where the tempers of inmates are short-fused and where grudges can be harbored for a long time. Our survival-trained staff, even those specially versed in crisis intervention, may thus have the unending job of running from crisis to crisis. To aggravate the injury, their carefully cultivated impersonal demeanor--their professionalism--may contribute to an image of flinty indifference to human problems that spawns the violence that staff seeks earnestly to defuse (Toch, 1977). Technicians who feel that they can ill afford the unmanly (and inefficient) luxuries of thinking and feeling when it comes to the nature and consequences of their work, may need to cultivate sensitivity, concern, and common moral sense, if they are to intervene in ways that are not, over the long haul, counterproductive to their aim to build a stable, safe, and humane prison milieu.

Organizational Adaptation and Problem-Solving Training: Boundary Control

Organizations in the adaptation mode respond to environmental turbulence or stress with active efforts to resolve problems that impinge directly on the organization and that threaten to disrupt its work. In resolving conflicts and minimizing work disruptions, the organization is seeking to keep its boundaries intact, to preserve its functional integrity in an environment that would undermine it. The organization must respond constructively to environmental intrusions (such as those represented by

court decisions that affect performance requirements), if it is to accomplish its basic mission. In formal terms, stress contaminates output functions, calling for boundary maintenance efforts that assure successful delivery of its outputs to the recipient organization.

Training in organizations attempting to adjust to stress (rather than merely to survive stress) takes the form of adaptation or problem-solving training. The objective of adaptation training is to equip staff to do the job according to the specifications of key organizations in the external environment. This training mode is typified by the injunction to "fix that broken part and get on with the job."

Adaptation training occurs in many forms: lessons in writing probation revocation reports acceptable to the courts; exposure to procedures and policies required to bring a jail into conformity with constitutional standards; versing in due process as it applied to disciplinary proceedings or cell searches. Ideally, adaptation-trained staff can conduct their activities so as to provide external organizations with no warrant to encroach the home organization's turf and upset its routine functioning.

Boundary control may be a particularly strong concern of community corrections and human service agencies, described by Dinitz (1971) as inherently "boundary busting systems." Permeability of boundaries cuts both ways, allowing the absorption of other organizations and absorption by other organizations. The probation office that, so to speak, consumes the local mental health population, stripping the mental health organization of its flexibility in providing service to client groups, is matched in kind by the mental health organization that consumes probationers to the point that the probation agency becomes overly dependent upon it as a resource provider.

The relation of the courts and probation agencies illustrates the double-edge of boundary busting systems and the options open to the participating agencies to retain jurisdictional and functional integrity. The courts, of course, are more powerful than probation organizations, which depend on the former both for their clients and for the legal

mandate to manage them. In practice, this means that the probation office must struggle to maintain its independence of the court if it is to perform correctional work, rather than to operate largely as an appendage of the court. Not surprisingly, adaptation training in probation focuses on developing the capacity to efficiently meet court-originated contingencies, while still providing a sound probation service. In this sense, training to write probation reports in line with court requirements can be seen as an effort to maintain smooth relations with the court. The "correct" report frees probation staff to do their work; "incorrect" reports embroil the workers with the court in contentious legal details.

The emphasis on boundary maintenance implies a negative, defensive posture on the part of the organization and its personnel. It is true, of course, that open systems thinking, and the very real need for corrections agencies to serve as community referral agencies, highlight the shortcoming of preoccupation with turf. Still, classing boundary control efforts as regressive can be misleading. Organizations can and do respond enthusiastically to infiltration of their boundaries--indeed, may invite infiltration of their boundaries--when the "broken part" in need of repair, is in fact broken, and can not be repaired without outside assistance. Massive court intervention in Southern prison systems is a case in point. Without the court orders, which mandated legislative funding to remedy prison problems, needed reforms could not have been accomplished. Still, organizations must ultimately run their own business, and this requires the policing of boundaries and the rejection of unnecessary impingements from without.

Organizational Innovation and Training for Creative Problem Solving:
System Ecology

Organizational innovation entails active intervention in a complex, turbulent environment. The organization seeks better ways of anticipating and responding to environmental stress, including the possibility of new management processes, new organizational and interorganizational forms,

or both. Innovation requires that complex problems be anticipated or met with complex responses--a process that can be conceptualized in transactional terms.

To innovate constructively, the organization must be equipped to monitor or attend to pressures originating in the surrounding milieu (the task and ecological environments), and to plan accordingly; to assess resources in relation to environmental demands and challenges; and to build or extend resources through the cultivation and use of networks of staff and organizations. The extent and nature of stress, however, remains only partially known, as the ecological sources of stress are numerous. The organization thus must hedge its bets, banking on its resilience to anticipate and respond appropriately to the variety of shifting stresses to which it is exposed.

None of the organizations in our site visit sample fully exemplified the innovation mode. However, some organizations were oriented to advanced adaptation or problem solving and committed to suitable training; they approximated the innovation response. The flavor of advanced adaptation training is conveyed in advice to beleaguered trainees to "take risks, be hopeful, be playful, and make things happen."

The objective of advanced adaptation or problem-solving training is to equip staff, especially upper echelon managers, to appreciate the broader context in which they operate and to develop new ways of defining and responding to problems. In essence, trainees are encouraged to see complex and seemingly insurmountable problems as sources of stimulation, challenge, and excitement--as problems worthy of the creative approaches and solutions they demand. To facilitate creative problem solving, trainees are introduced to systems theory and to various management techniques and perspectives. The climate of the training program sometimes stimulates the turbulence in the correctional environment, with trainees supported in their attempts to quickly conceptualize and react to stress along lines sharply divergent from responses, conventional in corrections, which typically feature survival or short-run problem solving.

Advanced problem-solving training emerged in our sample as a delicate, fragile process. This is the case because such training asks staff to take risks and look at an open future in a field where conservatism and limited horizons have been the norm. Training to take risks, therefore, can evoke a mixed or negative response among its presumed beneficiaries. If the trainees do not want this type of training, or if they can not be convinced they need it, or if, in fact, they do not need it (as when they work in organizations mired in the survival response mode), training for systematic, creative problem solving degenerates into a "bag of tricks" approach to crises that predictably fail to yield to the one-shot remedy, the passing fad, or the technological fix. The danger here involves not only wasted staff time, but the alienation evoked among trainees who feel themselves used by professionals with theoretical axes to grind.

CONCLUSION

We have traced a picture of rough congruence between organizational responses to environmental stress and corollary training patterns. This correspondence represents, in our view, the native wisdom of the correctional field. Training broadly suitable to dominant organization and staff needs is adopted; fads, frills, or otherwise insubstantial, marginal programs are avoided. Thus, training for self-actualization is shunned where basic security is at issue, and rudimentary programs are pushed aside where the need is for more advanced training.

Still, collective wisdom is uncodified and unshared. It represents the distillate of local responses to obvious (though important) problems. To paraphrase John Dewey's classic observations on "the public and its problems" as they might apply to corrections, we have inherited parochial institutions, practices, and ideas, but live and work in a complex and interdependent world, the intimacies and instabilities of which are graphically conveyed in the new popular image of the world as a "global village." Insularity is flagrantly self-destructive in such a world, because it make the broader problems that surround us hard to know or understand. Therefore, key consequences, if we may borrow directly from

Dewey, "are felt rather than perceived; they are suffered, but they cannot be said to be known, for they are not, by those who experienced them, referred to their origins" (Dewey, 1927, p. 131).

There is, then, a pressing need for systematic needs assessment and program evaluation to aid in the development and nurturance of training programs geared to anticipate and to provide rational and efficient responses to the complex problems that confront corrections. The general contours of such programs, as indicated in our sample, are spelled out in training programs that address issues of organizational and staff survival, adaptation, and innovation in turbulent correctional environments.

CHAPTER VII

NATIONAL SURVEY OF CORRECTIONAL PERSONNEL TRAINING: OVERVIEW

OBJECTIVES OF THE SURVEY

The national survey, like the site visits, focuses on the process of training: deciding that training is needed, developing a training program, implementing training, and evaluating training. However, there are distinctions. The site visits had largely heuristic purposes--to explore, to probe, to generate impressions and ideas of a small number of programs based upon flexible and intensive study; whereas the survey, built upon the information and insights obtained from the site visits, is designed to give a more panoramic and representative view of training, employing standard instruments to obtain data on correctional training operations in the United States.

The first requirement for the survey is to get an overview of correctional training--the number and kinds of agencies offering training, training budgets, the correctional staff being trained, and the courses being offered. To move beyond simply cataloging, it is necessary to look at training at a molecular level--the training course. At every other level, training activities are heterogeneous. In the site visits, we found that the processes of developing, implementing, and evaluating training were not consistent within the organizational units whose staffs were being trained, within the organizations conducting training, for single classifications of employees, nor even for sets of courses given to the same people at the same time and place. We concluded that the only way that we could aggregate and analyze correctional training information meaningfully was to use specific courses as the source of focal data.

The term "training course," as used here includes formal training courses, informal training, and on-the-job training. We have tried not to limit the types of training studied, but rather to focus on certain specific elements of training.

CONTENT OF THE SURVEY

The survey instrument is divided into three parts. The first section deals with characteristics of the correctional organization--type of agency, sex and age of the client population, number and type of correctional personnel, major goals of the agency regarding its training and its staff performance, training budget, and some general questions about the training its staff receives. In the second part of the survey, the respondent is asked to nominate a "very useful" course and a "less useful" course that has been given to the unit's correctional staff. Then a set of questions explores "why" each course has been so characterized. The respondent is then asked a number of questions about the courses, including their development, content, goals, trainees, training methods used, evaluation, and budget. This section of the questionnaire is intended to center attention on the poles of the qualitative dimensions of training.

To explore the qualitative mid-range of courses, there is a short final section. In this section, each respondent is asked about the content, trainees, and effectiveness of another course that is pre-assigned from a list enclosed with the survey. If the course has not been offered, at that location, they are told to describe the next course on the list. This course listing was developed from the site visits and from lists of correctional courses received from the National Institute of Corrections, and CONTACT, Inc.; and was intended to include most of the courses that correctional agencies offer.

RELATIONSHIP OF THE SURVEY TO THE INSTRUCTIONAL SYSTEM OPERATIONS MODEL

The two major influences on the development of the national survey instrument were the model of the training process used to guide the gathering of information during site visits and the findings from the site visits. As noted previously, the training actually observed showed many gaps when related to the training model. We concluded that the survey would have to depart from the original model if we were to reflect current conditions of training. There follows a brief discussion of the differences.

Figure VII-1 shows the Instructional System Operations Model divided into four parts; the parts parallel to the topics in the survey. Part A shows the components of the model dealing with influences on the decision to offer training. Many training programs are developed as a consequence of influences not considered explicitly by the model, and often lodged in the box dealing with organizational or selection problems, or the box that addresses requirements for training for non-performance reasons. In order to reflect these influences, the questionnaire includes general questions about the entire range of potential influences on the decision to offer training, including the performance gap explicitly identified in the model. Because of the diversity of possible causes, the questions dealing with Part A tend to be more general and less detailed than the model would suggest.

The divergence of the instrument from Part B--the development of training--is conditioned by the constraints imposed by the survey method. The instrument includes the topics identified in Part B (the goals of training, methods, personnel, sites), but does not address these topics in the context of development of training. We found in our site visits that training staff often did not know why certain instructional materials or training personnel were selected. Often these decisions were based on adventitious factors. Because many training personnel had not consistently considered each step in the development of training, or were not aware of the decisions that others had made, it often required probing to uncover the details of how programs were developed. A questionnaire survey instrument does not lend itself to probing in the same way as interviews do. Therefore, the development of training is studied in terms of the techniques used for its development (job analysis, needs assessment, job descriptions), whether a course was developed or selected for use, and who developed the course. In addition, agency goals for clients, staff, and organizational functioning, not explicitly considered in this model, are assessed. We hypothesize that these goals influence the type of training offered.

VII-4

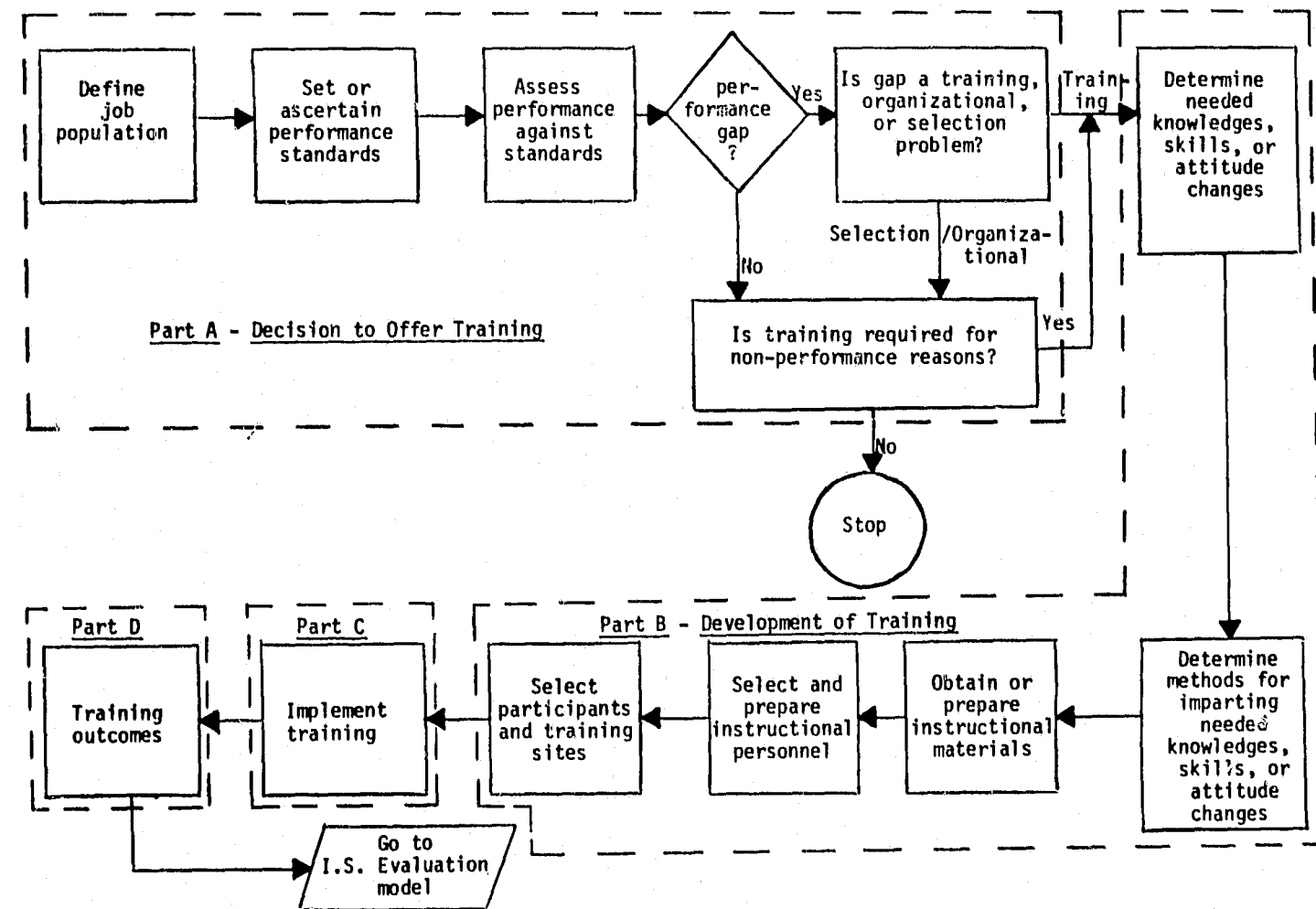


Figure VII-1. Instructional System Operations Model

All of the other topics in Part B--training methods, personnel selection of participants, and sites--are studied in a current program context (Part C), rather than in terms of the program's developmental history. Part C has been expanded to take all of these topics into account.

There are two topics covered in Part D--the evaluation of the program, and the factors that influence whether the skills and knowledges gained in training will be used. These topics are covered briefly in the instrument.

Figure VII-2 represents the approach the survey takes to training. In comparison to the training process model (Figure VII-1), it focuses less on the development of training; more on the present characteristics of the training course.

SAMPLE

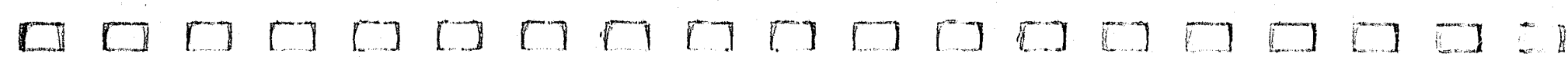
The instruments were mailed to a sample of correctional agency directors.¹ The directors were asked either to fill out the forms themselves, or to have the forms completed by someone at the agency knowledgeable about the training of the agency's training programs.

Three directories served as the source of names and addresses of agencies:

- The American Correctional Association 1979 Directory "Juvenile and Adult Correctional Departments, Institutions, Agencies, and Paroling Authorities"
- The National Council on Crime and Delinquency 1976 Directory of Probation and Parole Agencies
- Tools for Trainers "Trainer's Directory"

The ACA Directory served as the primary source of agency names. This directory did not list the individual probation and parole agencies in several states. The NCCD Directory was then used to obtain a comprehensive list of parole and probation agencies in the states not covered by the ACA Directory. The state and local agencies listed in the ACA Directory and in those sections used from the NCCD Directory served as the population of agencies in this study.

¹It might have been desirable to have studied the impact of training from the perspective of trainers, current and previous trainees, supervisors, as well as administrators. This approach, however, was not feasible.



VII-6

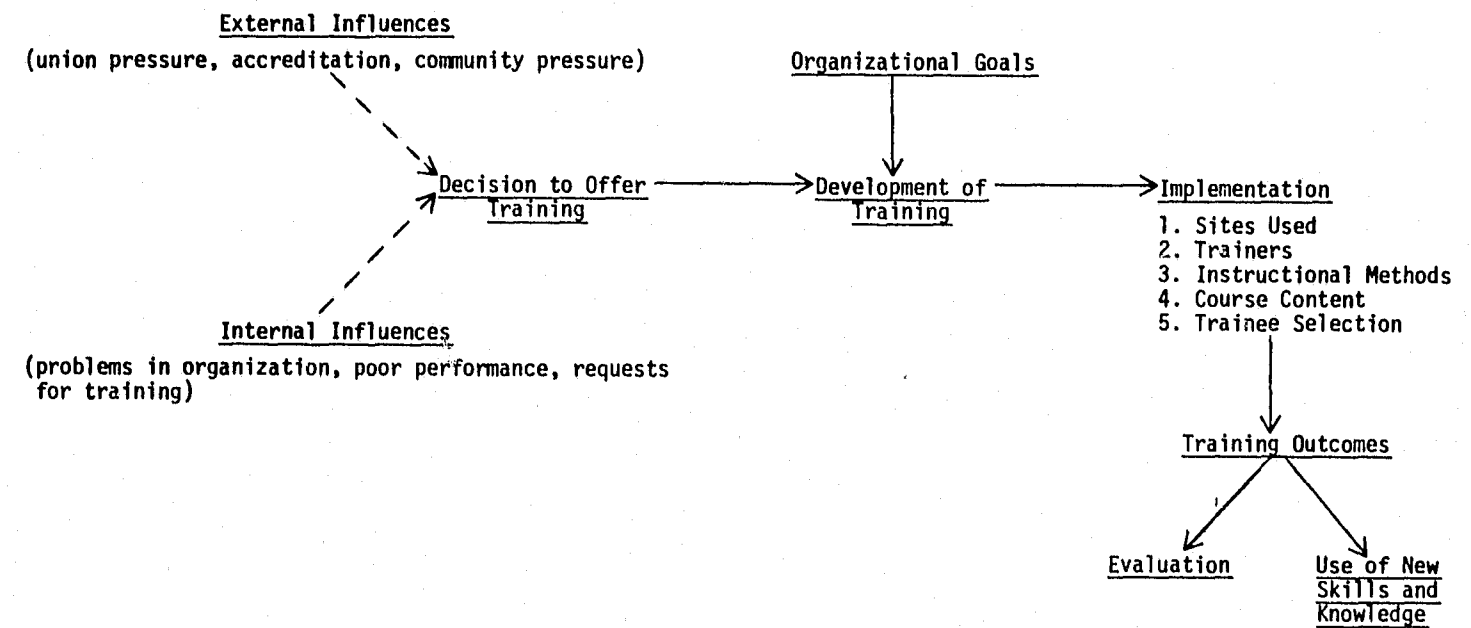


Figure VII-2. Approach to Training in the Survey

Agencies were sampled from this population in a purposive, rather than random fashion. First, the total number of agencies within each state was determined to be proportional to the number of correctional personnel and operating budget in the state. Within each state, all types of agencies were sampled, with some overrepresentation of larger agencies.

Table VII-1 shows how the mailings were distributed among the states. For example, Massachusetts has about 4,300 correctional personnel (about 2 percent of the total in the nation), its operational budget for corrections (in 1977) was about \$74 million (about 2 percent of the total for the nation), and 39 questionnaires were mailed to agencies in the state (about 3 percent of the total number mailed). It can be seen that the number of questionnaires mailed to each state relate closely to the number of correctional personnel and the operational budgets for corrections of the states.

The correctional agencies were the primary recipients of the survey instrument. In addition, we wished to send survey instruments to correctional training academies. Neither the ACA nor NCCD directories include a list of these academies. The most comprehensive list is included in Tools for Trainers. Revised forms of the survey were mailed to all of the academies mentioned in this volume and to the state correctional administrators in states for which no academy was listed. The administrators were asked to send the instruments to the training academies.

The total sample of units consisted of about 910 non-probation or parole correctional agencies, 210 probation and parole agencies, and 50 trainers and training academy directors. The total number of instruments sent was 1,170.

In order to determine why agencies had not responded, 105 telephone calls were made (77 completed) to agencies not yet responding. Calls were made during the period 4-8 October 1979.

Table VII-1
Distribution of Sample in Relation to Number of Correctional Personnel and Correctional Operational Budgets of States

State	Correctional Personnel	% of National Total	Operational Budget*	% of National Total	Questionnaires Mailed	% of Total Mailed
Alabama	2,103	1	\$ 33,664	1	22	2
Alaska	579	<1	26,000	1	14	1
Arizona	2,172	1	42,410	1	17	1
Arkansas	1,105	1	27,454	1	12	1
California	21,534	12	397,778	11	77	7
Colorado	1,319	1	51,404	1	19	2
Connecticut	3,018	2	56,018	2	14	1
Delaware	916	1	21,003	1	11	1
District of Columbia	2,643	1	66,090	2	13	1
Florida	9,943	6	199,805	6	83	7
Georgia	4,988	3	87,400	2	43	4
Hawaii	636	<1	11,280	<1	12	1
Idaho	507	<1	9,705	<1	6	1
Illinois	6,308	4	130,832	4	38	3
Indiana	2,971	2	64,372	2	21	2
Iowa	1,612	1	38,430	1	13	1
Kansas	1,758	1	36,233	1	16	1
Kentucky	4,184	2	38,747	1	22	2
Louisiana	3,430	2	44,037	1	16	1
Maine	2,638	1	42,350	1	5	<1
Maryland	3,800	2	82,700	2	23	2
Massachusetts	4,304	2	73,934	2	39	3
Michigan	6,463	4	138,318	4	26	2
Minnesota	2,213	1	65,727	2	25	2
Mississippi	1,288	1	22,010	1	8	1
Missouri	3,365	2	46,513	1	26	2
Montana	675	<1	13,776	<1	6	1
Nebraska	956	1	20,826	1	9	1
Nevada	900	1	17,721	1	9	1
New Hampshire	360	<1	6,228	<1	6	1
New Jersey	5,322	3	74,604	2	38	3
New Mexico	844	<1	16,076	<1	10	1
New York	21,878	12	393,186	11	82	7
North Carolina	6,341	4	119,708	3	49	4
North Dakota	240	<1	3,600	<1	4	<1
Ohio	7,069	4	159,167	5	28	2
Oklahoma	1,870	1	40,399	1	23	2
Oregon	2,268	1	56,358	2	22	2
Pennsylvania	6,487	4	121,142	3	30	3
Rhode Island	767	<1	18,353	1	11	1
South Carolina	2,727	2	46,525	1	33	3
South Dakota	327	<1	6,615	<1	5	<1
Tennessee	3,586	2	81,000	2	20	2
Texas	6,462	4	138,853	4	37	3
Utah	805	<1	22,620	1	10	1
Vermont	391	<1	10,665	<1	9	1
Virginia	6,094	3	139,844	4	47	4
Washington	3,041	2	73,900	2	28	2
West Virginia	911	1	12,576	<1	12	1
Wisconsin	3,143	2	70,534	2	13	1
Wyoming	213	<1	5,034	<1	8	1
TOTAL	179,474		\$3,523,524		1,170	

*In thousands of dollars

Questionnaires were mailed first class (a prepaid return envelope included) on September 18, 1979. On October 1, a follow-up reminder letter was mailed to all initial addresses that had not yet responded. (A copy of the survey and the follow-up letter will be found in Appendix C.) Questionnaires returned after November 15 were not analyzed.

CHAPTER VIII

NATIONAL SURVEY OF CORRECTIONAL PERSONNEL TRAINING: RESULTS

INTRODUCTION

The findings of the survey are presented in this chapter in the context of the Instructional System Operations Model (see Figure VII-1) and the Correctional Issues Model (see Figure III-4). Basically, data derived from Sections I and II of the survey are used in the analysis.¹ Section I is general in nature, focusing on the training conducted and background information about the correctional agency. Section II contrasts the characteristics of courses identified by responding agencies as "very useful" or "less useful."² Comparisons of training processes associated with the two types of courses described in this manner has helped document the conceptual models. When conclusions are drawn from information gathered about reportedly very useful or less useful courses, it must be kept in mind that the data refer only to the ends of the training continuum; characteristics of training in the midrange may not be reflected.

Since a large proportion of training in corrections is given at the training academy, a separate analysis of data pertaining to academies and state training agencies was undertaken. After a discussion of data derived from the agencies, there is a presentation of these data and comments on the differences between academy training and programs conducted at other sites.

¹ Bruce Katcher served tirelessly to program the survey responses for analysis.

² Many respondents stressed that courses identified as less useful are not necessarily poor courses. Respondents often pointed out that none of the training was "not useful," that out of a group of courses, this one was merely "not as useful" as the others.

Before addressing findings as they relate to the Instructional System Operations Model, a general description of the data and the population of survey respondents is presented. This background information is included to provide a basis with which to interpret and understand the analyses following. Frequency data and/or mean scores for all survey items analyzed are contained in Appendix D.

OVERVIEW OF RESPONDING AGENCIES

Response Rate

Of the 1,170 survey instruments mailed to agencies, 485 completed surveys were returned within the month time-limit (a response rate of 41 percent). Some of the responses, however, are aggregated responses representing several agencies, instead of a single agency. This happened in several states and appeared to be a random occurrence. We estimate that some 10 such responses represent, conservatively, 40 agencies.

Additionally, some 14 questionnaires were returned undelivered owing to insufficient addresses, and 27 agencies responded by letter or telephone to report that they had never received the original mailing. There was no second mailing of the questionnaire.

It appears, also, that a substantial number of questionnaires were neither delivered to the proper addressee nor returned undelivered to us. We can make a rough estimate of this number from the telephone calls we made to addressees. As noted previously, telephone calls were completed to 77 random nonrespondents. Of those calls completed, 19 (or 25 percent) of the individuals to whom we spoke maintained that the instrument had never been received. We can assume that some of those called had indeed received the questionnaire, but that it had been misdirected within the agency. If we assume, say, that half of this 25 percent had not received the mailing, and extrapolate to the total sample, the effective mailing should be reduced by 108. Putting all these figures together, we can estimate a constructive response rate of 48 percent, as compared with the actual rate of 41 percent:

Questionnaires

Mailed	1170
Returned undelivered	14
Consolidated by agency managers	30*
Correction for non delivered surveys by the Postal Service	<u>108</u>
Total not delivered	152
Effective mailing	1018
Responses	485
Actual rate of response (485/1170)	41%
Reconstructed rate of response (485/1018)	48%

Differences Between the Respondents and the Entire Mailing

Information provided in the ACA and NCCD directories, from which our sample was drawn, enabled us to make some judgment about the degree to which our respondents were representative of the agencies in the original mailing. The ACA Directory usually includes the number of offenders charged to each agency; the NCCD Directory includes the number of probation and parole officers in each agency. An examination of the responding agencies and the entire mailing with respect to agency type and size revealed no appreciable differences in these respects:

<u>Type of Agency**</u>	<u>Proportion of Agencies</u>	
	<u>Sampled</u>	<u>Responded</u>
Probation and parole agencies	16%	19%
Juvenile residential facilities	29	27
Prisons and jails	45	44
Community agencies and group homes	10	10
<u>Size of Agency</u>		
Below 50	24	20
50 -100	16	17
101-400	24	25
401 and above	19	21
<u>Size unknown</u>	16	17

*This represents the difference between the 10 returns responding for more than one agency and our estimate that these 10 surveys actually represent 40 agencies.

**We have aggregated agency types inasmuch as it sometimes was difficult to determine exactly agency functions from the name and description in the directories.

In addition, a comparison (see Table VIII-1) was made between the number of agencies within each state that were mailed surveys and the number that returned completed surveys; returns represent all states, ranging from 42 from California to 1 from Mississippi.

Agency Characteristics

Responses (Question 1)³ were obtained from a wide variety of agencies as is shown in Table VIII-2. One can also see from the table that some agencies identified themselves as providing more than one service. Most agencies (N=322) identified themselves as one type of agency; 102 agencies indicated that they considered themselves as providing two types of services. A smaller number of agencies (N=57) identified themselves as providing three or more services. Prisons often identified themselves as providing more than one service, also serving as training academies, and prerelease or work release centers.

Agency Size

There was a wide range of different sized agencies in the sample. The number of offenders in an agency ranged from 2 to over 60,000 with a median of 650 (Question 4). The number of correctional personnel ranged from 3 to 3,068 with a median of 96 (Question 5).

Offender Population

Two questions in the survey requested information about clients, one concerning the age of the clients (Question 2), and another, sex of the clients (Question 3). The responding agencies included 247 adult only, 124 juvenile only, and 113 mixed age agencies, as well as 220 all male and 231 mixed sex agencies. Only 26 agencies worked with female offenders alone.

Respondents

Who completed the survey instrument? The largest number of questionnaires were completed by agency directors (N=192) to whom the instrument

³The survey questions from which the results were obtained are identified in this chapter, in both the description of the data and in the tables.

Table VIII-1
Summary of Responses by State

State	Mailed	Completed Responses
Alabama	22	7
Alaska	14	6
Arizona	17	6
Arkansas	12	2
California	77	42
Colorado	19	7
Connecticut	14	6
Delaware	11	3
District of Columbia	13	2
Florida	83	34
Georgia	43	20
Hawaii	12	7
Idaho	6	2
Illinois	38	19
Indiana	21	9
Iowa	13	6
Kansas	16	10
Kentucky	22	11
Louisiana	16	5
Maine	5	3
Maryland	23	8
Massachusetts	39	14
Michigan	26	17
Minnesota	25	18
Mississippi	8	1
Missouri	26	10
Montana	6	4
Nebraska	9	4
Nevada	9	4
New Hampshire	6	2
New Jersey	38	12
New Mexico	10	3
New York	82	28
North Carolina	49	16
North Dakota	4	3
Ohio	28	15
Oklahoma	23	11
Oregon	22	9
Pennsylvania	30	16
Rhode Island	11	3
South Carolina	33	7
South Dakota	5	3
Tennessee	20	5
Texas	37	13
Utah	10	5
Vermont	9	3
Virginia	47	18
Washington	28	11
West Virginia	12	4
Wisconsin	13	6
Wyoming	8	5
	1170	485

Table VIII-2

Types of Correctional Agencies That Responded to the Survey (Question 1)

Type of Agency	Frequency of Response*
Jail	31
Prison	201
Parole Agency	40
Probation Agency	67
Combined Probation and Parole Agency	32
Temporary Care Facility	23
Half-Way House or Group Home	41
Residential Facility for Juveniles	129
Prerelease or Work Release Center	87
Training Academy	47
Regional Parole and Probation Agencies	37
Court	4
Classification, Reception, and Diagnostic	13
Other	19

*Totals are greater than 485 since some agencies consider themselves to be more than one type of agency.

had been sent. Agency training directors (N=65), other agency training personnel (N=77), supervisors and managers (N=92), and other correctional staff (N=35) completed the instruments.

One should note that the knowledge and orientation of individuals who completed the survey may have influenced our results. That the majority of those who filled out the instrument hold administrative or management positions within the organization was particularly likely to affect certain issues addressed in the survey. For example, we asked a number of questions about problems associated with general agency functioning and training activities. Some options inquired about possible cases of administrator and management resistance to training or failure to support the training program. A number of options suggested problems that might have interfered with the effective functioning of the organization. Responses to these questions could be affected by attempts to appear in favorable light. Other options included in the items made reference to informal activities that take place among personnel working in line positions, or at levels of the workplace considerably removed from the administration. Respondents may not have had direct information about such activities and perhaps answered these questions with guesses or neutral responses.

THE INSTRUCTIONAL SYSTEM OPERATIONS MODEL: AN ANALYSIS OF THE TRAINING PROCESS

The Decision to Offer Training

The initial stages of the model (see Figure VII-1) deal with identification of those who receive training, the use of performance-based assessment to indicate areas of training need, and nonperformance factors influencing the decision to offer training. A particular concern here is whether or not the training given is appropriate to trainee needs and job responsibilities.

Define Job Population

Information relevant to the first step of the model, that of defining the job population, can be inferred from Question 35 of the

survey which deals with the personnel classification of those in an agency who received specific training courses. Table VIII-3 shows that those who receive training were given courses that appear relevant to their job titles and responsibilities. This is illustrated in the following brief descriptions of the courses most frequently offered to each type of correctional personnel.

- Administrators and managers were most likely to receive training in management practices, supervision and leadership, and decision making. Additionally, they received courses in collective bargaining, communication skills, and legal issues more frequently than others.
- Supervisors also received courses in supervision and leadership, human relations, and management practices. This training was likely to be supplemented by courses related to functions associated with the performance of, or supervision of those performing line level duties. For example, training in basic orientation, first aid, and security procedures was common.
- Child care workers received basic orientation training supplemented by a combination of counseling and safety related courses. This included training in counseling techniques, human relations skills, first aid/CPR, and crisis intervention.
- Parole and probation officers went through basic orientation training, with additional courses related to dealing with clients--counseling techniques, alcoholism and drug abuse, interviewing, and case management. Probation officers also received training in investigation procedures.
- Counselors received courses similar to those given to parole and probation personnel, including basic orientation training, counseling, case management and human relations. They also completed classification and intake training more often than any other type of personnel.
- Correctional officers received a list of courses different from other personnel in that they were primarily security oriented. In addition to basic orientation training, correctional officers were provided training in security procedures, first aid, self defense and physical training, and fire prevention. Training in human relations and communications skills also supplemented the restraint and safety oriented courses.

Table VIII-3
Percentage of Agencies Where Personnel Received
Different Types of Correctional Training Courses (Question 35)

Course	Administrators & Managers	Line Supervisors	Child Care Workers or Cottage Parents	Correctional Officers	Parole Officers	Counselors & Case Workers	Correctional Staff	Non Correctional Staff
Alcoholism and Drug Abuse	27%	42%	48%	51%	86%	61%	61%	43% 17%
Basic Orientation Training	48	68	93	96	94	85	83	100 60
Case Management	19	28	21	13	74	62	64	11 5
Classification and Intake	28	33	23	33	55	38	59	26 10
Collective Bargaining/Arbitration	50	26	1	6	6	4	4	8 3
Community Resource Development	26	20	14	5	58	51	39	23 5
Counseling Techniques	23	43	71	43	86	70	79	44 14
Crisis Intervention/Emergency Procedures	34	55	68	58	68	56	56	62 28
Decision Making	58	58	35	35	32	34	35	39 13
Fire Prevention and Safety	40	57	61	72	21	30	40	66 35
First Aid/CPR	39	61	71	83	47	48	53	69 41
Hostage Survival	28	30	10	35	9	17	13	21 9
Human Relations/Communication Skills	50	62	68	65	68	59	61	69 31
Interviewing	34	42	30	26	77	63	54	43 15
Investigation Procedures	22	42	10	45	69	41	19	25 7
Legal Issues/Liability	50	48	24	48	49	46	30	38 18
Management Training	78	67	9	9	12	12	16	13 4
Psychology/Abnormal Behavior	22	33	30	38	45	34	51	46 16
Security Procedures	41	61	54	89	24	30	48	62 36
Self Defense & Physical Training	17	39	47	75	38	34	26	34 25
Supervision and Leadership	66	76	25	32	18	19	25	31 14
Women in Correctional Institutions	13	17	18	20	11	14	13	20 9

The finding that training staffs or their administrators know whom they are training and respond appropriately with job-related courses was expected, as found to be true across all 17 site visits.

Use of Performance Standards

Whether or not job descriptions and performance standards were generally taken into consideration for course planning and development, was not clear from the survey. There is a finding relevant to this issue for the ends of the training continuum. Question 63 in Section II of the survey, which looks at courses reported to be very useful or less useful, concerns techniques used for training development. It can be seen in Table VIII-4 that very useful courses were much more likely than less useful courses to have been developed using the data-based techniques of job analysis, written performance standards, needs assessment, and job descriptions. Less useful courses were much more likely to have used no specific or special techniques in course development.

Reasons for Training

The survey also focused on influences on the decision to train and reasons for selection of particular courses (Question 66). A high proportion of both very useful and less useful courses were developed to meet agency requirements for job performance, to improve client services, or to fulfill employee requests for training, but such reasons were associated more often with courses reported to be very useful (see Table VIII-5).

The responses to this question are also useful for examining external pressures that may influence staff training programs. Respondents indicated that about one-third of the time, courses were initiated in order to meet accreditation or certification requirements. Union, community, and legislative pressures did not appear to significantly influence the decision to provide either a very useful or a less useful course.

Table VIII-4
Percentage of Agencies that Used Data-Based Techniques to Develop Very Useful and Less Useful Courses (Question 63)

<u>Technique</u>	<u>Very Useful Course</u>	<u>Less Useful Course</u>	<u>Difference</u>
Job analysis	55%*	33%*	22%*
Written performance standards	50	26	24
Needs assessment	49	31	18
Written Job descriptions	31	21	10
No technique used	8 360**	35 312**	-27

*Since respondents were not limited in their number of answers, percentages sum to over 100%; the difference expressed is very useful minus less useful courses.

**Number of agencies responding to this set of questions.

Table VIII-5

Percentage of Agencies that Cited Specific Reasons for Developing
A Very Useful and Less Useful Course (Question 66)

Reasons	Very Useful Course	Less Useful Course	Difference
Meet accreditation or certification requirements	37%*	30%*	7%*
Handle a problem or crisis in the agency	18	14	4
Community pressure	5	4	1
Legislative or executive pressure	6	9	-3
Comply with state regulations or law	22	20	2
Union contract requirements	5	6	-1
To fulfill agency requirements concerning job performance	54	33	21
Improve client services	64	41	23
Changes in department policies, laws, or court decisions regarding job performance	28	16	12
Staff members not performing adequately on certain jobs	32	18	14
Employee requests for training	$\frac{50}{393^{**}}$	$\frac{34}{321^{**}}$	16

*Since respondents were not limited in their number of answers, percentages sum to over 100%; the difference expressed is very useful minus less useful courses.

**Number of agencies responding to this set of questions.

Training Goals

Question 67 of the survey addresses goals of very useful or less useful courses. Improving job performance, teaching specific knowledges or skills, and improving attitudes were the principal course goals. The very useful courses were more likely than the less useful courses to identify the two goals of improving job performance and teaching specific skills as goals for their courses (see Table VIII-6). A similar relationship occurred with course goals of improving general attitudes and morale or job satisfaction. Less useful courses were more likely to have unclear goals than very useful courses, and very useful courses were most likely to have almost every goal mentioned. Besides differences in specific goals, findings also indicate that very useful courses were intended to meet more goals (N=1543) than less useful courses (N=878).

Training Needs

Survey recipients were asked to identify training courses that their correctional staff needed, but were not receiving (Question 34). Only 11 percent of 485 respondents indicated that no additional training was needed; others indicated a wide variety of needed courses (see Table VIII-7). The courses most frequently listed were: human relations and communications skills, crisis intervention, supervision and leadership, decision making, and psychology.

Preparing for Training: Course Development

The next section of the model concerns the selection and/or preparation of course materials, instructional personnel, and training participants.

Training Methods

Methods of instruction used in courses reported to be very useful or less useful are assessed in Question 74. Although lectures were the most frequently used technique in most cases, other training techniques differed between useful and very useful courses (see Table VIII-8).

Table VIII-6

Percentage of Agencies that Reported Course Goals for Very Useful and Less Useful Courses (Question 67)

Goals	Very Useful Course	Less Useful Course	Difference
To improve attitudes in general	62%*	38%*	24%*
To change specific attitudes	21	15	6
To improve job performance	83	55	28
To teach specific knowledge, skills, or topics	75	47	27
To increase general job knowledge	54	38	16
To improve morale	48	27	21
To reduce job stress	38	20	18
Goals are unclear	$\frac{1}{404}^{**}$	$\frac{16}{342}^{**}$	-15

*Since respondents were not limited in their number of answers, percentages sum to over 100%; the difference expressed is very useful minus less useful courses.

**Number of agencies responding to this set of questions.

Table VIII-7

Courses Agencies Rated as Needed (Question 34)

Course	Percentage of Agencies Needing the Course
Alcoholism and Drug Abuse	16%
Basic Orientation Training	5
Case Management	13
Classification and Intake	5
Collective Bargaining/Arbitration	8
Community Resource Development	18
Counseling Techniques	22
Crisis Intervention/Emergency Procedures	24
Decision Making	24
Fire Prevention and Safety	4
First Aid/CPR	10
Hostage Survival	11
Human Relations/Communication Skills	28
Interviewing	9
Investigation Procedures	11
Legal Issues/Liability	22
Management Training	19
Psychology/Abnormal Behavior	22
Security Procedures	5
Self Defense and Physical Training	17
Supervision and Leadership	26
Women in Correctional Institutions	11
Stress Management	2
Report Writing	1
Other	2
No additional training is needed	11

Table VIII-8

Percentage of Agencies that Reported the Use of Certain Training Techniques for Very Useful and Less Useful Courses (Question 74)

Technique	Very Useful Course	Less Useful Course	Difference
Lectures	89%*	64%*	25%*
Practice and role play	78	41	37
Field trips	14	12	2
Readings, case studies, and audio-visual aids	60	38	22
Writing reports	20	11	9
Watching behavior demonstrations	52	29	23
Working with more experienced peers	26	8	18
Group Discussions	73	42	31
Team teaching	31	14	17
	405**	352**	

*Since respondents were not limited in their number of answers, percentages sum to over 100%; the difference expressed is very useful minus less useful courses.

**Number of agencies responding to this set of questions.

Courses described as very useful were characterized by the use of more techniques and considerably more use of practice, role play, and group discussions as training activities.

Instructional Materials

We were concerned with the development of course materials rather than the specific types of materials used, although this information was also gathered. Issues of interest here revolved around sharing of information and materials among agencies and the degree to which shared materials could be useful to agencies using them.

Consistent with impressions gained during site visits, the findings indicated that a very useful course was more likely to have been developed specifically for the agency; or if a pre-existing courses were used, the materials had been revised (Question 64, see Table VIII-9). A related item requested information about the developer of useful and less useful courses (Question 65). It was much more likely that a course developed by an agency trainer be rated as very useful, rather than less useful (see Table VIII-10).

The issue of training course relevance and applicability once again may play a role here. Each of these factors--how training was developed (or revised) and who developed the course--may affect whether or not agency and trainee needs are realized and addressed by the training. The issue of course relevance is especially important, since the primary reason given for distinguishing between very useful and less useful training was relevance of the course to specific agency needs. Nineteen percent of the respondents indicated that irrelevant training was a major training problem (Question 55, see Table VIII-11).

Other questions in the survey addressed how the respondents felt about the adequacy of available course materials. On a general training question in Section I of the survey about problems associated with training, only 11 percent of the respondents indicated that inadequate training materials posed a major problem for their program (Question 55).

Table VIII-9
Percentage of Agencies that Developed or Revised a Course
Judged as Very Useful and Less Useful (Question 64)

<u>Technique</u>	<u>Very Useful Course</u>	<u>Less Useful Course</u>	<u>Difference</u>
New course developed	44%*	31%*	13%*
Borrowed or revised course	25	13	12
Use borrowed course as is	26	23	3
Another method	14	9	5
Do not know	13 <u>353**</u>	34 <u>303**</u>	-21

*Since respondents were not limited in their number of answers, percentages sum to over 100%; the difference expressed is very useful minus less useful courses.

**Number of agencies responding to this set of questions.

Table VIII-10
Percentage of Agencies that Identified the Developers of
Very Useful and Less Useful Courses (Question 65)

<u>Course Developers</u>	<u>Very Useful Course</u>	<u>Less Useful Course</u>	<u>Difference</u>
Agency trainer	43%*	21%*	22%*
Line or administrative staff member	35	22	13
Outside consultant	40	26	14
Do not know	17 <u>523**</u>	30 <u>385**</u>	-13

*Since respondents were not limited in their number of answers, percentages sum to over 100%; the difference expressed is very useful minus less useful courses.

**Number of agencies responding to this set of questions.

Table VIII-11

Percentage of Agencies that Identified
Certain Training Problems (Question 55)

<u>Problem</u>	<u>Percentage</u>
Not enough money to pay overtime for staff being trained and for staff to replace them.	64%
Not enough staff so that enough people can be given time off for training.	74
Inadequate training materials.	11
Inadequate facilities for training.	20
Training courses that are not relevant to agency needs.	19
Inadequately prepared training staff.	11
Resistance from unions to training.	1
Staff resistance to training.	21
Interference with training from other agencies, courts, etc.	2
Agency management resistance to training.	5
Another problem.	8

Instructional Personnel

Both Sections I and II of the survey contained questions about training instructors. In Section I, respondents were asked to estimate the percentage of training taught by each type of instructor last year. Most teaching was done by the agencies' own trainers (see Table VIII-12). Trainers from academies and other correctional agencies, along with other in-house personnel (not training staff) were involved in about 20 percent of the training. Community resource persons, specialists, and consultants conducted only a small proportion of the training provided (Question 51).

Respondents also provided information on who generally taught the courses identified as very useful and less useful training (Question 72). In general, very useful courses, as compared to less useful courses, were taught by a greater variety of instructors (see Table VIII-13). They were also more likely to be taught by trainers or co-workers than courses described as less useful.

(Note that in Question 51, a different question is posed from that in Question 72.) The former item calls for an estimate of the amount of training each type of instructor conducts, instead of who generally teaches the courses. Thus, differences in findings may reflect differences in the questions.

Several other questions in the survey yield information about the adequacy of the training staff. In Section I, when asked about problems associated with training, 11 percent of the respondents indicated that inadequately prepared training staff posed a major training problem (see Table VIII-11). In responding to a similar question in Section II of the survey, 22 percent of the respondents indicated they had poor trainers in very useful courses, and 30 percent had this problem in courses judged as less useful (Question 75, see Table VIII-14).

The importance of competent instructors also is revealed in Section II, where reasons for distinguishing between very useful and less useful courses are given. When a course was identified to be less useful, the

Table VIII-12

Amount of Training Time Taught by Different Types of Instructors
(Question 51)

Instructor	Mean Percentage
Agency training staff	39%
Other agency staff members	18
Teachers, lawyers, doctors, district attorneys, psychologists, and people who work for consulting firms	8
Trainers from other correctional programs, including training academies	23
Other staff from other correctional programs	3
Community resource persons	5
Other	2

Table VIII-13

Who Taught Very Useful and Less Useful Courses (Question 72)

Teacher	Very Useful Course	Less Useful Course	Difference
Co-workers	37%*	24%*	13%*
Supervisors and administrators	27	21	6
Trainers	91	78	13
Teachers at area schools	12	8	4
Consultants	36	29	7
Other	<u>2</u> 402**	<u>5</u> 339**	-3

*Since respondents were not limited in their number of answers, percentages sum to over 100%; the difference expressed is very useful minus less useful courses.

**Number of agencies responding to this set of questions.

Table VIII-14

Percentage of Agencies that Reported Problems in Very Useful and Less Useful Courses (Question 75)

Problems	Very Useful Course	Less Useful Course	Difference
Poor trainee reading and writing skills	27%	10%	17%
Lack of trainee interest	31	51	-20
Trainees unclear about course relevance to their jobs	41	61	-20
Absenteeism	16	9	7
Drop outs	5	9	-4
Inadequate course materials	14	16	-2
Inadequately prepared trainers	$\frac{22}{124^*}$	$\frac{30}{270^*}$	-8

*Number of agencies responding to this question.

second most frequent reason given for characterizing the course as less useful was that the course was presented poorly. This was reflected in a group of statements about lack of instructor knowledge about the topic area, lack of trainer familiarity with teaching techniques or learning principles, and a general failure to prepare adequately for the course.

One interesting finding about courses identified as either very useful or less useful is that respondents were less knowledgeable concerning details of the development of less useful courses. In approximately one-third of the cases, respondents did not provide information about either how the course was obtained/developed or who designed the program (see Table VIII-9 and VIII-10). Respondents may be unwilling to locate responsibility for a poor course. Alternatively, less useful courses may have been developed less carefully, or borrowed, and the specific methods of development less clear.

Training Sites

The next two sections in the Operations Model concern the selection of training sites and of program participants. Concerning sites, over 50 percent of training was given in-house, at individual agencies (Question 47). The second most frequent site for training was the training academy. Junior colleges, neighboring correctional agencies, and other sites were less frequently mentioned (see Table VIII-15).

There are differences in training sites for different types of training (Questions 48-50). Entry-level training usually was given in-house or at a training academy. In-service training was also provided primarily at these sites, with proportionately more being offered at the agency. For specialized training, there was a greater use of workshops and junior colleges (see Table VIII-16).

A comparison by training sites of courses described as very useful or less useful reveals few differences (Question 71). The largest differences between courses was that very useful courses were somewhat more likely to be offered in-house (see Table VIII-17).

Table VIII-15
The Mean Percentage of Training Offered at
Different Sites (Question 47)

<u>Site</u>	<u>Mean Percentage*</u>
At the Agency	52%
At another Correctional Agency	9
At a Training Academy	32
At a College or Junior College	9
At an Institute or Special Workshop	16
Another Site	5

*Total is more than 100% since training is usually given
at more than one location

Table VIII-16
Percentage of Training Given at Different Sites
(Questions 48-50)

<u>Type of Training</u>	<i>At Our Agency</i>	<i>At Another Correctional Agency</i>	<i>At a Training Academy</i>	<i>At a Junior College or University</i>	<i>At a Workshop</i>	<i>No Training of This Type is Given</i>
Entry Level Training	54%	4%	32%	5%	2%	4%
In-Service Training	58	5	19	4	13	0
Specialized Training	22	7	26	12	33	1

Table VIII-17

Percentage of Agencies that had Useful and Less Useful Courses
Given at Different Sites (Question 71)

Site	Very Useful Course	Less Useful Course	Difference
At a correctional agency	56%	43%	13%
At a training academy	45	41	4
At a college or junior college	12	9	3
At another place away from the correctional facilities (e.g., at a convention or workshop)	25	27	-2
	<u>371*</u>	<u>324*</u>	

*Number of agencies responding to this question

In addition to questions about the training sites used, an option included in the question about training problems was that of inadequate facilities for training. Twenty percent of the respondents reported that poor facilities were indeed associated with training difficulties (see Table VIII-11). Another item concerned a hypothetical 50 percent budget increase for training. Improving training facilities was the fifth (out of nine) most frequently selected way for spending the money. These two findings suggest that although poor facilities are a problem, they are not judged as the most critical impediment to training effectiveness.

Selection of Trainees

Question 70 addressed the methods used for the selection of training participants. There were no specific selection techniques that differentiated courses described as very useful or less useful (see Table VIII-18). For both types of courses, most trainees attended training because they were required to do so. The type of correctional personnel who received very useful and less useful training was addressed in Question 68. Counselors and case workers were the only employees more likely to receive more useful courses than less useful courses (see Table VIII-19).

Training Implementation

A great deal of information obtained in the survey can be discussed within the training implementation component of the Instructional System Operations Model. An overview of training that is offered will be provided first--to whom it is provided, when training is received, how much is given, and costs of training. Matters that respondents see as influencing the actual conduct of training programs are next described through focusing on problems associated with training implementation.

In this section of the chapter, we also make note of differences in training when one looks at agency types and clients served. Functional, geographical, and personnel diversities that occur between different agencies, however, make it difficult to conclude why these differences occur.

Table VIII-18

Percentage of Agencies that Reported the Use of Different Methods to Select Trainees for Very Useful and Less Useful Courses (Question 70)

Selection Method	Very Useful Course	Less Useful Course	Difference
Correctional workers are required to take this course	65%	56%	9%
The supervisors select workers who need this training	28	20	8
The supervisors select workers who can use this training for promotion or career development	13	9	4
It is voluntary	16	17	-1
People volunteer for training with their supervisor's permission	19	16	3
A person applies to a training committee	6	4	2
Another method	5	6	-1
	399*	341*	

*Number of agencies responding to this question

Table VIII-19

Percentage of Agencies that Reported which Correctional Staff Received Very Useful and Less Useful Courses (Question 68)

Staff	Very Useful Course	Less Useful Course	Difference
All correctional staff	38%	34%	4%
Administrators	33	25	8
Child care workers and cottage parents	10	7	3
Probation officers	14	13	1
Parole officers	9	8	1
Corrections officers	31	26	5
Counselor or case worker	31	15	16
Line supervisor	32	24	8
Trainers	13	8	6
	403*	332*	

*Number of agencies responding to this question

Agency size and sex of offenders were considered in the analysis, but did not prove to be useful variables. Agency size was found to be correlated with agency type and results of the analyses concerning agency size proved repetitive of results obtained when focusing on agency type. Sex of the offender was also confounded with type of agency. Most of the all-female agencies were prisons, while most of the mixed male-female agencies were parole or probation agencies. The agencies with all-male offenders were of a more diverse type. Because of these differences, the effect of offender sex, independent of agency type, was not investigated.

Amount of Training

Most of the agencies that responded to the survey indicated that their correctional personnel received training (464 out of 485). With the exception of training programs for administrators and managers, (which were most often in-service courses) personnel were given both entry level/preemployment training and in-service training (Questions 36-47, see Table VIII-20). About two-thirds of the correctional personnel at the average agency received training last year.⁴ The median amount of training received during the year was about 40 hours (Question 54).

When comparing training given at various agencies, there were differences revealed concerning the median number of correctional staff in an agency who received training (corrected for the median number of total correctional staff in the agency). Variations were also found among agency types in the median amount of training provided to each staff member who received training. These differences are presented in Table VIII-21. In general, the smaller agencies (e.g., temporary care, halfway houses) trained more staff per total number of correctional staff in the agency than did larger agencies (e.g., combined probation

⁴The median number of correctional personnel trained at an agency was 64.5; the median number of correctional personnel at an agency was 96.3.

Table VIII-20
Percentage of Agencies Whose Correctional Personnel Received Training (Questions 36-47)

Staff	Entry Level Preemployment or Initial Employment Training Only	In-Service Training Only	Training at Both Times	Percent of Personnel Trained*
Administrators or Managers	3%	51%	41%	95%
Child Care Workers or Cottage Parents	4	37	58	99
Correctional Officers	6	15	79	100
Probation Officers	3	22	72	97
Parole Officers	9	25	62	96
Counselors or Case Workers	7	30	62	99
Line Supervisors	3	39	57	99

*This percentage is derived from the number of agencies answering these questions. About 20% of the agencies did not respond to questions relevant to this table.

Table VIII-21
 Amount of Training Received by Personnel
 in Different Types of Agencies (Question 54)

Agency Type	Median No. of Persons Trained / Median No. in Agency	Median No. of Hours of Training Per Person
Jail (110)*	.85	30
Prison (184)	.65	50
Parole (380)	.53	40
Probation (90)	.86	30
Parole/Probation (430)	.29	34
Temporary Care (60)	1.27	20
Halfway House (37)	1.12	40
Residential/Juvenile (97)	.78	26
Prerelease (52)	.59	40

* Median no. of correctional staff in the agency.

and parole, parole, and prisons). Prisons offered a median of 50 hours of training per year, and residential agencies for juveniles and temporary care facilities offered a median of 26 and 20 hours, respectively. The differences in amount of training given to staff at agencies with adult or juvenile offenders are presented in Table VIII-22. Combined juvenile/adult agencies trained the most personnel, and adult agencies trained the least last year. In contrast, adult agencies gave a median of 40 hours of training per person trained, and juvenile agencies gave a median of 24 hours.

Two cautions should be stated about interpreting these data. First, the figures concerning the number of persons trained in relation to the number in the agency may be confusing. The figures for temporary care facilities and halfway houses are a good example. Respondents in these two agencies reported, on the average, that more people were trained than were employed by their agencies. Several explanations can be found for such an occurrence. It is possible that a high turnover rate and subsequent increase in training of new hires could account for the greater number of persons trained than those currently employed. More likely, some persons attended more than one course and were counted more than once.

Second, any conclusions drawn from a comparison of training by agency function and type of offenders should also take into account differences in the nature and qualifications of staff. For example, correctional officers and probation officers cannot be viewed in the same way. In some regions of the country, corrections officers have typically come to the job with little background or formal training for dealing with offenders. In fact, site visit observations were that those hired for prison work were frequently underqualified, sometimes lacking basic reading and writing abilities necessary for some job tasks. By comparison, qualifications for probation officers are usually more stringent, calling for some college experience, often an MSW or MA.

The survey data also permits us to contrast the amount of training given in the very useful and less useful courses. While there was little difference in the number of persons taking training courses

Table VIII-22
 Amount of Training Received by Personnel
 Serving Different Types of Offenders (Question 54)

Offender	Median No. of Persons Trained / Median No. in Agency	Median No. of Hours of Training
Adult (112)*	.58	40.5
Juvenile (64)	.69	24.0
Adult and Juvenile (127)	.78	34.9

*Median number of correctional staff in the agency.

categorized as very useful ($\bar{X}=102$) or as less useful ($\bar{X}=92$), there was a considerable difference in the number of hours involved in the courses. Very useful courses were considerably longer ($\bar{X}=41$ hours) than those described as less useful ($\bar{X}=19$ hours).

Training Costs

The median amount that agencies estimated they had spent last year on personnel training was \$28,750 (Question 57). This places the median cost per individual trained at \$270 (Question 54), and the median cost of training per agency staff member at \$190. All of these figures suggest that training is allocated very little money by agencies. Additionally, the amount reported as spent on training was \$10,917 greater (median difference) than the official budget allocated for training activities. Such a difference may indicate how much agencies were required to use funds from other budgets to supplement inadequate training budgets, or it may merely reflect the imprecise nature of budget allocations.

Approximately one-half of the respondents surveyed did not provide an estimate of the formal training budget. Respondents frequently replied that budgets were handled by a centralized state agency or department and they had no knowledge of specific funding arrangements. Still others maintained that there was no official training budget that they knew of; support for training came from miscellaneous accounts throughout the agency. This finding suggests that aside from inadequate budgets, training also suffers from lack of knowledge of and control over budget allocations.

The amount of money spent on training (corrected for agency size) differed somewhat across agency types, as is shown in Table VIII-23. The smallest amount per trainee was spent in temporary care facilities (\$168) and the largest amount (\$304) was spent in combined parole/probation agencies. Agency characteristics, like size, do not seem to be consistently related to training costs, so that explanations for these differences remain unclear. As shown in Table VIII-24, there were also small differences in the average cost of training in adult and

Table VIII-23

Median Amounts Spent on Training in Different Types of Agencies (Question 57)

<u>Agency Type</u>	<u>Median Amount Spent Per Trainee</u>	<u>Median Amount Spent Per Correctional Staff</u>
Jail	\$200	\$157
Prison	267	200
Parole	244	167
Probation	211	139
Parole/Probation	304	251
Temporary Care	168	145
Halfway House	286	264
Residential/Juvenile	231	154
Prerelease	292	243

Table VIII-24

Amount Spent on Training in Agencies with Different Types of Offenders (Question 57)

<u>Agency Clients</u>	<u>Median Amount Spent per Trainee</u>	<u>Median Amount Spent per Correctional Staff</u>
Adult	\$266	\$264
Juvenile	231	154
Adult and Juvenile	292	243

juvenile corrections agencies; less was spent in juvenile agencies. Mixed adult/juvenile agencies spent more than either all adult or all juvenile agencies.

Training cost information was also obtained for useful and less useful courses (Question 80). Very useful courses were reported to cost more than twice as much (\bar{X} =\$9,720) as those courses described as less useful (\bar{X} =\$4,620). These costs may be a direct function of the duration of the two categories of courses, 41 hours and 19 hours, respectively. In addition, the greater number of instructors and the greater number of training techniques, used in very useful courses, may explain cost differences.

Training Courses

Table VIII-25 provides a list of courses offered to personnel in agencies that indicated their personnel received training. The relative frequency with which each course was given in different types of agencies is presented in Table VIII-26. In looking over both course lists, one notes a similarity in course offerings across agency types. The frequently given courses--basic orientation training, counseling, human relations, first aid, interviewing, management training, and supervision--were provided to personnel in most types of agencies. The less frequently given courses--classification, collective bargaining, community resource development, and women in correctional institutions--appeared to be given at only about 50 percent of the agencies in each category. The primary difference in training given across agencies was that security, self defense, and fire prevention courses were frequently offered in jails, prisons, and prerelease/work release centers (which often are prisons), and given infrequently in most other agencies.

There were also differences in training depending upon whether the agency worked with juvenile or adult offenders (see Table VIII-27). In juvenile agencies, there was comparatively less training in self defense, security procedures, hostage survival, legal rights, investigation, and interviewing.

Table VIII-25

Frequency with which Specific Training Courses were Offered (Question 35)

<u>Course</u>	<u>Number of Agencies Offering the Course</u>	<u>Rank</u>
Alcoholism and Drug Abuse	318	10
Basic Orientation Training	434	1
Case Management	308	11.5
Classification and Intake	302	14
Collective Bargaining/Arbitration	226	20
Community Resource Development	243	19
Counseling Techniques	387	2
Crisis Intervention/Emergency Preparation	332	8
Decision Making	308	11.5
Fire Prevention and Safety	305	13
First Aid/CPR	352	5
Hostage Survival	179	21
Human Relations/Communication Skills	351	6
Interviewing	328	9
Investigation Procedures	277	17
Legal Issues	295	15
Management Training	370	3
Psychology/Abnormal Behavior	258	18
Security Procedures	344	7
Self Defense and Physical Training	286	16
Supervision and Leadership	355	4
Women in Correctional Institutions	105	22

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Table VIII-26

Percentage of Agencies that Offered Each Different Course (Question 35)

Course	Jail	Prison	Parole	Probation	Probation & Parole	Temporary Care	Halfway Houses	Residential Juveniles	Prerelease Work Release
Alcoholism and Drug Abuse	74%	69%	70%	88%	81%	83%	60%	59%	68%
Basic Orientation Training	87	94	85	93	91	78	83	86	91
Case Management	68	65	78	81	69	61	71	63	58
Classification and Intake	71	71	55	66	65	52	61	57	58
Collective Bargaining/ Arbitration	58	53	43	37	47	39	32	50	45
Community Resource Development	61	49	58	66	53	61	51	48	55
Counseling Techniques	81	80	80	90	78	87	85	83	82
Crisis Intervention/ Emergency Procedures	77	73	70	78	66	91	66	68	72
Decision Making	71	68	63	66	50	78	63	60	64
Fire Prevention and Safety	71	80	58	31	38	57	66	63	74
First Aid/CPR	90	83	68	64	53	83	78	75	81
Hostage Survival	55	60	38	15	38	17	29	23	46
Human Relations/ Communication Skills	81	80	73	73	69	83	78	66	83
Interviewing	81	70	70	87	75	74	71	63	68
Investigation Procedures	71	66	55	76	69	57	42	43	61
Legal Issues/Liability	68	75	70	64	72	74	61	48	71
Management Training	87	79	80	82	89	87	78	74	78
Psychology/Abnormal Behavior	65	64	50	51	50	52	56	50	56
Security Procedures	84	92	68	46	47	74	59	61	86
Self Defense and Physical Training	68	79	48	49	47	70	44	44	65
Supervision and Leadership	90	78	78	79	78	83	81	72	83
Women in Correctional Institutions	45	26	33	18	38	17	39	19	29
N =	31	201	40	67	32	23	41	119	87

Table VIII-27

Percentage of Agencies by Offender Type Where Staff Received Specific Training Courses (Question 35)

Course	Type of Offenders		
	Adult	Juvenile	Both Adult and Juvenile
Alcoholism and Drug Abuse	69%	48%	79%
Basic Orientation Training	93	82	89
Case Management	64	55	69
Classification and Intake	68	51	60
Collective Bargaining/ Arbitration	49	42	46
Community Resource Development	51	42	58
Counseling Techniques	78	78	87
Crisis Intervention/ Emergency Procedures	69	62	77
Decision Making	66	56	65
Fire Prevention and Safety	71	56	53
First Aid/CPR	79	65	67
Hostage Survival	50	12	35
Human Relations/ Communication Skills	77	61	78
Interviewing	72	55	74
Investigation Procedures	66	32	65
Legal Issues/Liability	71	41	60
Management Training	78	69	80
Psychology/Abnormal Behavior	56	44	55
Security Procedures	83	48	67
Self Defense and Physical Training	69	38	59
Supervision and Leadership	74	64	78
Women in Correctional Institutions	23	16	25
N=	247	124	113

The differences in frequency appear to be related to the degree that course content is appropriate to staff in various types of agencies. The frequently offered courses usually provide skills that are applicable to staff in all agencies. For example, basic training and human relations courses can be used by corrections officers, probation agents, and juvenile workers, alike. All organizations have staff for which management and supervision courses are relevant. The courses given less frequently, often look to be applicable only in agencies with special concerns, or for persons in specific job categories. Collective bargaining, for example, is generally needed in organizations where employees are unionized. Security training and fire prevention are most relevant for institutional workers. Again here, the issue of job relevance and needs in training are shown to be important.

Problems in Training

While a principal objective of the survey was to obtain quantitative data about the extent of training about the nation, we were also interested in the factors influencing training effectiveness. As noted previously, several items in the survey addressed potential barriers to achieving training objectives. Respondents were asked to identify problems associated with the training provided to personnel in their agency (Question 55). (In order to minimize the number of responses, those answering this question were asked to limit their replies to three problems.) A lack of funding to pay overtime for staff attending training or for staff to replace them, and the absence of sufficient relief staff were checked more frequently than any other problems in the list (see Table VIII-11).

When these results are considered by agency types (see Table VIII-28) and client population served (see Table VIII-29), the same two problems dominate. The problems appear not to be as severe for probation and parole agencies, however. It might have been noted (see Table VIII-23), that combination parole/probation agencies spend \$304 per trainee per year--more than any other type of agency--which



Table VIII-28

The Percentage of Different Types of Agencies that Identified Certain Training Problems (Question 55)

Problem	Jail	Prison	Parole	Probation	Probation/ Parole	Temporary Care	Halfway House	Residential/ Juvenile	Prerelease
Not enough money to pay overtime for staff being trained and for staff to replace them	74%	72%	53%	51%	38%	70%	54%	64%	63%
Not enough staff so that enough people can be given time off for training	71	81	60	43	41	44	56	64	71
Inadequate training materials	13	10	13	13	25	4	5	10	16
Inadequate facilities for training	29	21	18	18	25	35	15	13	14
Training courses that are not relevant to agency needs	13	12	15	21	9	22	15	19	20
Inadequately prepared training staff	7	7	15	12	13	0	15	5	13
Resistance from unions to training	3	2	0	8	3	4	2	1	0
Staff resistance to training	23	19	25	27	35	17	20	19	14
Interference with training from other agencies, courts, etc.	3	0	3	6	6	9	7	3	1
Agency management resistance to training	3	4	5	8	0	13	5	0	6
Another problem	13	5	5	8	9	9	15	10	7

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Table VIII-29

Percentage of Agencies with Different Types of Offenders
that Identified Certain Training Problems (Question 55)

Problem	Juvenile	Adult	Juvenile & Adult
Not enough money to pay overtime for staff being trained and for staff to replace them	55%	62%	58%
Not enough staff so that enough people can be given time off for training	62	78	54
Inadequate training materials	9	9	16
Inadequate facilities for training	13	19	20
Training courses that are not relevant to agency needs	21	18	12
Inadequately prepared training staff	7	11	12
Resistance from unions to training	1	1	0
Staff resistance to training	19	19	25
Interference with training from other agencies, courts, etc.	3	1	4
Agency management resistance to training	17	4	8
Another problem	17	6	4

supports the relative less concern shown by probation/parole agencies for this critical training problem. (The difference, additionally, could be affected by the implications of understaffing in institutions versus agencies operating in a field setting. In facilities concerned with security and client control--prisons, jails, and other residential units--a reduction of staff on the job due to training may be seen as more critical, while only viewed as a major inconvenience in non-residential agencies.) Other problems on the list--staff resistance to training, inadequate facilities for training, and training courses that are not relevant to agency needs--are identified as major problems by about 20 percent of responding agencies. We suspect that the low percentages associated with these three problems are not necessarily indicative of a lack of importance, but are due more to the nature of the questionnaire, since respondents were constrained to three options. There were no significant differences in problems cited by different types of agencies in relation to the age of offenders they managed (see Table VIII-29).

Training problems are also addressed in Section II of the survey in the context of very useful and less useful courses (see Table VIII-14). As could be expected, more problems were identified for courses in the less useful category. The courses described as less useful were characterized by a lack of trainee interest, and trainees' not being aware of relevance of the course to their work. On the other hand, deficiencies in trainee reading and writing skills were more of a problem in very useful courses than in less useful courses. One can surmise that the less useful courses either made fewer demands on trainees with respect to literacy, or that lack of interest and motivation overshadowed any demands on literacy that the course might have made. For the more useful courses, ability to read and write had more serious impact.

Training Outcomes

According to the Operations Model, assessment of changes in participants as a result of the training program is a critical part of the training process. This includes assessing internal training outcomes, such as learning or attitude change, as well as external training outcomes that may be observed in job behavior or changes that occur within the organization.

Question 77 concerned the assessment of trainee performance. Respondents reported that the primary method of assessing trainees was through testing (used typically to determine if learning or attitude changes have occurred). As is shown in Table VIII-30, two major differences appear between the courses described as very useful or less useful. Trainee evaluations, of any type, were more often conducted in very useful courses; and appraisal of on-the-job performance after training was much more likely to be carried out in very useful courses.

Two sets of questions are relevant in looking at factors that may influence training outcomes. The first question addresses possible job-related payoffs contingent upon performance in training. Two other questions relate to encouragement for use of skills learned in training. Whether or not rewards for training and encouragement for using new skills or knowledge will increase interest, learning, and use of training skills back on the job is of interest here.

Very useful and less useful courses were examined with respect to the extent to which trainee performance was linked with job-related payoffs (see Table VIII-31). Certain job-related consequences are associated with the more useful courses: records of trainee performance are placed in personnel files, and supervisors are informed about the trainees' performance. Neither, direct payoffs--keeping the job nor pay increases--characterized one type of course more than another. When there was no relationship at all between course performance and the trainees' subsequent assignment of pay, the course tended to be in the less useful category.

Table VIII-30
Percentage of Agencies that Conducted Appraisals of Trainee Progress
in Very Useful and Less Useful Courses (Question 77)

<u>Evaluations</u>	<u>Very Useful Course</u>	<u>Less Useful Course</u>	<u>Difference</u>
Tests	53%	43%	10%
Projects	27	13	14
Trainer feedback	32	31	1
On-the-job evaluation	48	24	24
No evaluation	21 395*	48 326*	-27

*Number of agencies responding to this question

Table VIII-31

Percentage of Agencies that Reported Very Useful and Less Useful Courses had Job-Related Payoffs (Question 76)

Payoff	Very Useful Course	Less Useful Course	Difference
The trainee must pass this course to keep the job	23%	17%	6%
The trainee's supervisor is informed about his/her training performance	46	28	18
A record of his/her training performance goes into the employee's file	65	54	11
Pay increases and promotions are partially dependent on completing this course	25	18	7
There is little relation between course performance and the trainee's subsequent assignment and pay	46	65	-19
	386*	323*	

*Number of agencies responding to this question

Questions 52 and 53 addressed the degree to which supervisors and peers did or did not encourage trainees to use the skills and information gained in training. Mean respondent ratings were 2.02 and 2.21, respectively, indicating that use of knowledge and skills acquired is encouraged. This is not entirely consistent with reports we received during site visits, particularly from persons involved in training for correctional officers. Resistance from "old timers" to training was a primary concern in several instances. In response to the general question on training problems in Question 55 (see Table VIII-11), staff resistance to training ranked third on a list of eleven problems (selected 21 percent of the time), which supports site visit findings.

Evaluation of Training

The final step in the Instructional System Operations Model is a component for the evaluation of the training program itself. Two questions on the survey are relevant here. One deals with the evaluation of very useful and less useful training; the other asks how these results were used.

The data shows that courses selected as very useful were more likely than those described as less useful to be evaluated (see Table VIII-32). Courses that were evaluated were generally evaluated in more than one way, with ratings of the course by trainees as the most frequently used method. In comparing specific kinds of evaluations, assessment of on-the-job performance of trainees and trainers meeting to discuss and review the course were methods more likely to be used for very useful courses. It is significant that less useful courses were less frequently evaluated (3 percent as compared with 25 percent).

If course evaluations were undertaken, the evaluations were usually used to revise course content and training techniques, and to a somewhat lesser degree to evaluate instructors (see Table VIII-33). Although evaluations were used in both very useful and less useful courses, their use for either purpose was greater for very useful courses.

W.S.

Table VIII-32

Percentage of Agencies that Evaluated their Very Useful and Less Useful Courses (Question 78)

<u>Evaluation</u>	<u>Very Useful Course</u>	<u>Less Useful Course</u>	<u>Difference</u>
Trainee ratings	74%	63%	11%
Trainer discussion	42	21	21
Formal evaluation	20	11	9
Pre-post measures of trainee performance	22	14	8
Performance on-the-job	40	17	23
No evaluation	$\frac{3}{395^*}$	$\frac{25}{332^*}$	-22

*Number of agencies responding to this question

Table VIII-33

Percentage of Agencies that Use the Results of the Evaluations of Useful and Less Useful Courses (Question 79)

<u>Use</u>	<u>Very Useful Course</u>	<u>Less Useful Course</u>	<u>Difference</u>
To change course content and training techniques	78%	52%	26%
To evaluate instructors	$\frac{50}{354^*}$	$\frac{39}{275^*}$	11

*Number of agencies responding to this question

Evaluation of Each Course

Section II of the survey contains a series of questions in which respondents were asked to describe and evaluate the effectiveness of a single course. Table VIII-34 presents the ratings of each of the courses. For most courses, the modal response was that the course resulted in a moderate increase in employee skill. The better courses, defined in terms of the proportion of ratings in the large or great skill increases were: psychology, classification and intake, collective bargaining, crisis intervention, and security training. The less effective courses, defined as having the greatest proportion of ratings in the small and moderate skill increase and variable results (since no course was rated as resulting in either no increase or a decrease in skill), were the management courses (supervision, management training, case management), legal issues, counseling, interviewing, and community resource development.⁵

Several explanations can be offered for why courses were rated as such. Site visit experiences and survey data revealed a great number of variables that potentially influence the acquisition and transferal of skills back onto the job environment--development issues such as established relevance to agency goals and individual worker needs; quality of instruction and presentation; implementation issues like availability of relief staff for those in training; follow-up in the form of reward and reinforcement for skill use; and individual worker characteristics and abilities.

⁵Each course in Table VIII-34 had an equal change of being described in Section III, as we mailed an equal number of surveys for each course checked (about 51 surveys with each course checked). However, respondents were instructed to select the next course following, if their agency did not offer that course, or if it happened to be a course they had nominated as a "very useful" or "less useful" course (see copy of survey in Appendix D). Thus, the very small number of respondents (e.g., 4-hostage survival, 6-women in correctional institutions) indicate that few agencies offer this training.

Table VIII-34

Evaluation of Each Course: Percentage of Ratings in Each Evaluation Category (Question 85)

Course	N	Evaluation of Training		
		Small and Moderate Skill Increase	Large and Great Skill Increase	Variable Changes In Skill Level
1. Alcoholism and Drug Abuse	21	62%	19%	19%
2. Basic Orientation Training	42	50	36	14
3. Case Management	14	79	21	0
4. Classification and Intake	14	57	43	0
5. Collective Bargaining/ Arbitration	12	42	42	17
6. Community Resource Development	10	80	20	0
7. Counseling Techniques	26	64	16	20
8. Crisis Intervention/ Emergency Procedures	10	40	40	20
9. Decision Making	6	83	17	0
10. Fire Prevention and Safety	18	61	28	11
11. First Aid/CPR	29	55	31	14
12. Hostage Survival	4	0	25	25
13. Human Relations/ Communication Skills	24	54	29	17
14. Interviewing	11	75	17	17
15. Investigation Procedures	16	53	33	13
16. Legal Issues/Liability	22	73	27	0
17. Management Training	17	65	24	12
18. Psychology/Abnormal Behavior	9	11	67	22
19. Security Procedures	27	48	37	15
20. Self Defense and Physical Training	14	57	14	29
21. Supervision and Leadership	21	71	19	10
22. Women in Correctional Institutions	6	67	17	17

No single course was consistently selected as either very useful or less useful (Question 59), and almost every course was selected as both very useful and less useful at least once (see Table VIII-35). Figure VIII-1 is a bivariate frequency distribution of course selections, and is revealing in the way courses cluster. The majority of courses (Group A), were infrequently selected either as very useful or less useful. There are six courses (Group B) frequently selected as very useful, and less frequently selected as less useful--basic orientation, crisis intervention, supervision and leadership, security procedures, human relations/communications skills, and counseling techniques. There are five courses along the diagonal (Group C) that were frequently nominated useful, and about as frequently as less useful--alcohol and drug abuse, first aid, legal issues, management training, and psychology/abnormal behavior; and in Group D that were selected as less useful more frequently than as very useful--self-defense/physical training and firearms training.

When the results of the analysis are compared to the results of Question 85, concerning the effectiveness of the training courses (see Table VIII-34), the findings are inconsistent. There is little relationship between the ratings accorded a course and its popularity as a useful course.

What can be said about these clusters of courses? The Group A courses are infrequently and sporadically given and not of special interest at this point. The Group B cluster--frequently offered and considered very useful--appears to consist of courses very relevant to the day-to-day operations of an agency. Knowledge and skill in these areas are central to the job. The Group C cluster--frequently offered, but mixed as to perceived usefulness--is puzzling. Most of these courses, such as alcohol and drug abuse, first aid/CPR, legal issues and psychology/abnormal behavior, tend to be more specialized and technical in nature; they may, indeed, be less relevant within some agencies than in others. The two courses in Group D that were given frequently, but considered to be less useful are often mandated courses. Firearms training appears

Table VIII-35
Courses Rated as Very Useful and Less Useful (Question 59)

Course	Frequency Course Described as Very Useful	Percentage	Frequency Course Described as Less Useful	Percentage*
1. Alcoholism and Drug Abuse	13	3.1	12	3.2
2. Basic Orientation Training	48	11.5	21	5.5
3. Case Management	6	1.4	4	1.1
4. Classification and Intake	4	1.0	3	.8
5. Collective Bargaining/Arbitration	3	.7	7	1.8
6. Community Resource Development	1	.2	6	1.6
7. Counseling Techniques	42	10.0	24	6.3
8. Crisis Intervention/Emergency Preparation	29	6.9	7	1.8
9. Decision Making	2	.5	2	.5
10. Fire Prevention and Safety	4	1.0	4	1.1
11. First Aid/CPR	15	3.6	15	4.0
12. Hostage Survival	4	1.0	3	.8
13. Human Relations/Communication Skills	44	10.5	23	6.1
14. Interviewing	4	1.0	4	1.1
15. Investigation Procedures	3	.7	5	1.3
16. Legal Issues	24	5.7	19	5.0
17. Management Training	29	6.9	29	7.7
18. Psychology/Abnormal Behavior	14	3.3	11	2.9
19. Security Procedures	26	6.2	5	1.3
20. Self Defense and Physical Training	12	2.9	28	7.4
21. Supervision and Leadership	24	5.7	3	.8
22. Women in Correctional Institutions	0	.0	3	.8
23. Report Writing	7	1.7	7	1.8
24. Stress/Burnout	6	1.4	5	1.3
25. Planning	4	1.0	7	1.8
26. Transportation/Driving	1	.2	3	.8
27. Rules and Regulations	5	1.2	8	2.1
28. Child Care Workers	5	1.2	4	1.1
29. Training for Trainers	3	.7	3	.8
30. Special Offenders	2	.5	0	.0
31. Firearms	9	2.1	17	4.5
32. Other Courses	25	6.2	07	2.9
	418	100%	379	100%

*Since both courses were part of one survey item, the percentage was based on an N of 418; those who identified a course as very useful did not respond with a less useful course.

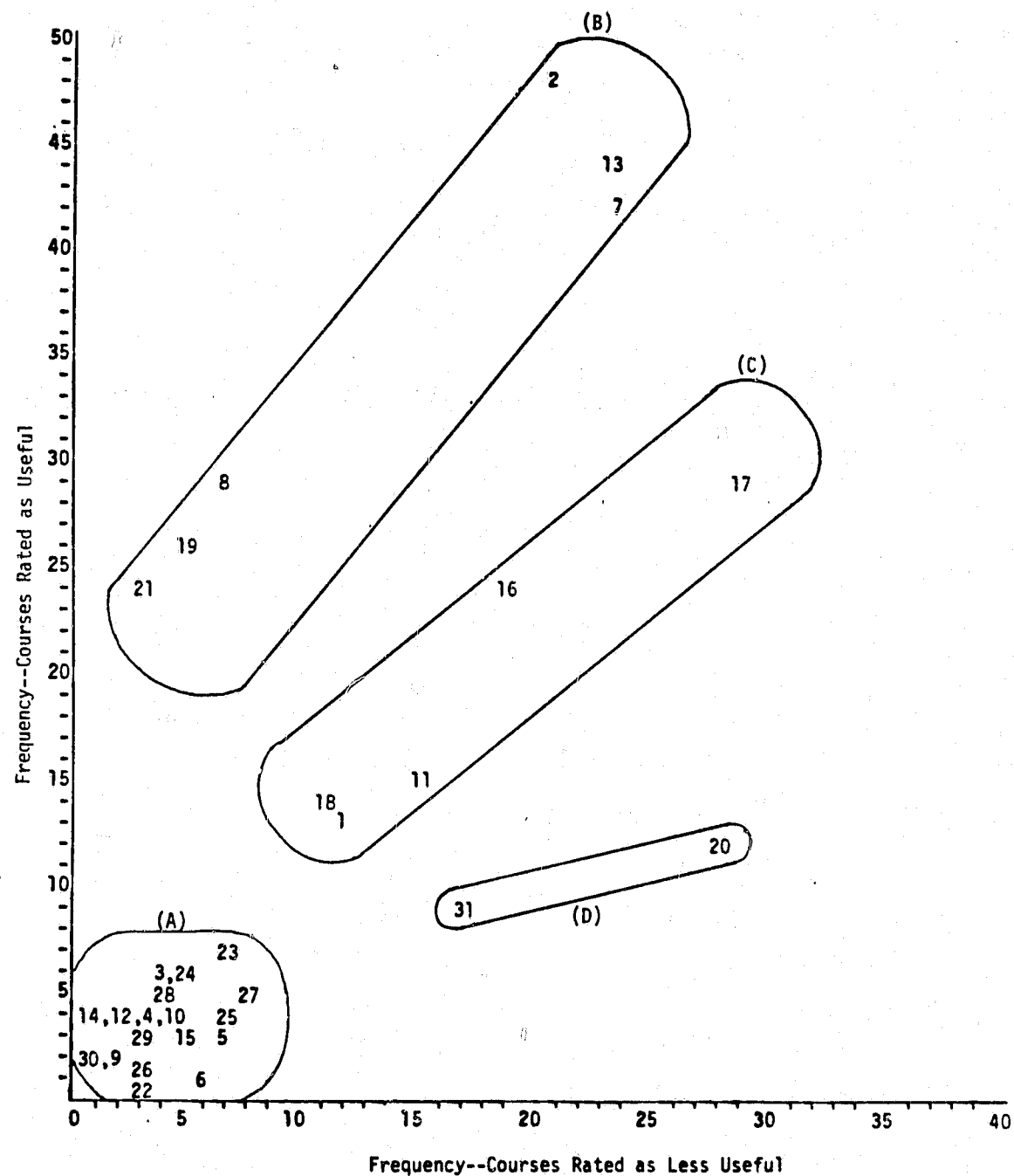


Figure VIII-1. Bivariate Frequency Distribution of Courses Selected as Very Useful and Less Useful.

often not to be appropriate to some agency personnel. Some respondents noted the lack of long term effectiveness of physical training due to a failure on the part of agencies to follow-up with subsequent physical fitness routines. Often it is not so much the content of a particular course that makes it useful or less useful, but the circumstances accompanying its development and presentation.

TRAINING ACADEMIES

In this section of the chapter, data pertinent to training conducted by training academies is summarized. Survey forms, altered slightly for this purpose, were sent either to academies (if we knew the addresses) or to the state directors of training with a request that they send the forms to the academies. Of the 50 instruments mailed, 47 were returned.

Amount of Training

Last year, the median number of correctional personnel trained at an academy was 875.5, over 10 times the median number taught at the average agency. The median number of hours each person was trained there was 48.5 hours, one day more than the median amount of training offered at an agency (Question 54).

Trainees

Almost all responding academies trained administrators, correctional officers, counselors, and line supervisors. Forty-one percent of the academies trained child care workers; 54 percent trained probation officers; and 63 percent trained parole officers (Questions 36-47, see Table VIII-36).

Cost

The median annual amount spent for training in an academy was \$190,500 (Question 57). If the costs per trainee are computed, the costs are somewhat lower than in agencies, \$239, compared to a median agency cost of \$270. This may be attributable to economies associated with larger groups of trainees (e.g., higher student-trainer ratios)

Table VIII-36
 Percentage of Academies that Train Certain Types of
 Correctional Personnel (Questions 36-47)

<u>Personnel Trained</u>	<u>Percentage of Academies Offering Training to Personnel Noted</u>
Administrators	90
Child Care Workers or Cottage Parents	41
Correctional Officers	93
Probation Officers	54
Parole Officers	63
Counselors or Case Workers	88
Line Supervisors	90

and greater efficiency of training techniques and use of materials and facilities.

Course Offerings

Most training academies offered a wide variety of courses (see Table VIII-37). The more frequently offered courses given at academies were very similar to the frequently offered courses described by agencies as typical of training in general. These courses include: basic orientation; counseling techniques; security; human relations; and classification (Question 35).

The academy training given to different types of correctional staff (shown in Table VIII-38) is also very similar to the training offered from all sources (see Table VIII-3). Again, administrators received specific administrative courses, as well as a broad range of other courses. Line supervisors took administrative courses and courses relevant to the skills required in their agencies. Correctional officers were primarily given security training; while counselors, parole and probation officers, and child care workers were given a majority of treatment-oriented courses relevant to client services.

When Training Is Given

Academies provided both in-service and entry-level (preemployment/initial employment) training to most correctional personnel (see Table VIII-39). The only exception is administrators, who were more likely to receive in-service training only (Questions 36-47). This finding is similar to that reported by correctional agencies.

Training Course Instructors

Most training course instructors were members of the regular staff of academies (see Table VIII-40). The minimal amount of training conducted by community persons and staff from other agencies, along with the reliance on internal trainers, parallels the results described by the agencies for all training (Question 51).

Table VIII-37

Frequency that Certain Training Courses were Offered
in Training Academies (Question 35)

Course	Number of Academies Offering this Course
Alcoholism and Drug Abuse	36
Basic Orientation Training	41
Case Management	30
Classification and Intake	37
Collective Bargaining/Arbitration	19
Community Resource Development	25
Counseling Techniques	41
Crisis Intervention/Emergency Procedures	37
Decision Making	31
Fire Prevention and Safety	30
First Aid/CPR	37
Hostage Survival	24
Human Relations/Communication Skills	38
Interviewing	33
Investigation Procedures	34
Legal Issues/Liability	35
Management Training	33
Psychology/Abnormal Behavior	29
Security Procedures	40
Self Defense and Physical Training	37
Supervision and Leadership	35
Women in Correctional Institutions	19

Table VIII-38

The Percentage of Training Academies that Offered
Certain Courses (Question 35)

Course	Administrators & Managers	Line Supervisors	Child Care Workers or Cottage Parents	Correctional Officers	Probation Officers	Parole Officers	Counselors & Case Workers	Correctional Staff	Non Correctional Staff
Alcoholism & Drug Abuse	23%	45%	32%	75%	36%	41%	54%	7%	2%
Basic Orientation Training	36	43	34	82	41	39	64	11	18
Case Management	9	27	9	11	29	29	48	2	0
Classification & Intake	18	32	11	50	29	27	57	2	4
Collective Bargaining/Arbitration	41	16	0	2	0	0	0	2	2
Community Resource Development	9	23	11	4	36	34	36	0	0
Counseling Techniques	7	38	27	43	41	39	70	7	2
Crisis Intervention/Emergency Procedures	20	54	25	66	39	34	52	9	4
Decision Making	52	57	11	36	14	16	29	4	2
Fire Prevent & Safety	20	34	20	59	4	7	27	7	7
First Aid/CPR	23	43	25	77	20	25	36	9	11
Hostage Survival	25	29	0	43	4	9	18	2	9
Human Relations/Communication Skills	34	50	29	70	39	36	54	4	9
Interviewing	16	36	18	23	34	34	41	0	2
Investigation Procedures	14	39	4	52	32	27	25	2	4
Legal Issues/Liability	43	48	23	64	29	36	34	7	9
Management Training	66	66	4	4	4	7	11	0	2
Psychology/Abnormal Behavior	11	27	16	54	20	25	47	4	0
Security Procedures	25	52	25	79	11	11	36	11	9
Self Defense & Physical Training	18	36	23	70	27	27	32	7	9
Supervision & Leadership	54	68	11	43	11	11	23	7	4
Women in Correctional Institutions	18	20	11	29	9	7	14	7	0

Table VIII-39

The Percentage of Academies which Offered Entry-Level and In-Service Training (Questions 36-47)

Staff	Entry Level Preemployment or Initial Employment Training Only	In-Service Training Only	Training at Both Times
Administrators or Managers	2%	58%	29%
Child Care Workers or Cottage Parents	5	7	29
Correctional Officers	0	10	83
Probation Officers	0	17	37
Parole Officers	5	17	41
Counselors or Case Workers	7	24	56
Line Supervisors	0	34	56

Table VIII-40

Mean Percentage of Academy Training Taught by Different Types of Instructors (Question 51)

Teachers	Mean Percentage of Courses Taught
Academy training staff	53%
Other staff from academy	15
Teachers, lawyers, consultants, etc.	10
Outsider trainers	11
Staff from other agencies	4
Community resource persons	4
Others	1

Training Problems

Again, the academies are similar to other correctional agencies in the problems they report (see Table VIII-41). The two major problems cited were overtime pay for staff in training and replacement staff. The other problems mentioned were inadequate facilities, staff resistance, and poor training materials (Question 55).

Needed Courses

Respondents indicated that a wide variety of training was needed (see Table VIII-42). The courses most frequently mentioned were: case management, human relations, and management training. Academies differed from agencies in that 20 percent of academies believe that no other courses were needed; only 11 percent of agencies indicated that no other courses were needed (Question 34).

It is of interest to contrast the differences in perceptions of academies and correctional agencies generally in this respect. The second column of percentages in Table VIII-42 have been carried over from Table VIII-7. In a number of instances there are marked differences in the need perceived. The academies indicated much greater interest in the following courses:

- Case Management 24% (as compared with 13%)
- Collective Bargaining/Arbitration 17% (as compared with 8%)
- Management Training 30% (as compared with 19%)
- Security Procedures 43% (as compared with 5%)

On the other hand, correctional agencies generally indicate greater interest in these courses:

- Alcoholism and Drug Abuse 16% (as compared with 4%)
- Crisis Intervention 24% (as compared with 15%)
- Decision Making 24% (as compared with 15%)
- Legal Issues/Liability 22% (as compared with 9%)
- Psychology/Abnormal Behavior 22% (as compared with 13%)
- Supervision and Leadership 26% (as compared with 17%)

Table VIII-41

The Percentage of Training Academies which Identified Certain Training Problems

<u>Problem</u>	<u>Percentage</u>
Not enough money to pay overtime for staff being trained and for staff to replace them.	58%
Not enough staff so that enough people can be given time off for training.	60
Inadequate training materials.	19
Inadequate facilities for training.	28
Training courses that are not relevant to agency needs.	12
Inadequately prepared training staff.	7
Resistance from unions to training.	0
Staff resistance to training.	26
Interference with training from other agencies, courts, etc.	5
Agency management resistance to training.	16
Another problem.	16

Table VIII-42

Contrast of Courses Academies and Other Agencies
Indicate are Needed (Question 34)

Course	Proportion of Additional Courses Needed	
	According to Academies	According to Agencies Generally
No Additional Courses Needed	20%	11%
Alcoholism and Drug Abuse	4	16
Basic Orientation Training	6	5
Case Management	24	13
Classification and Intake	9	5
Collective Bargaining/Arbitration	17	8
Community Resource Development	20	18
Counseling Techniques	15	22
Crisis Intervention/Emergency Procedures	15	24
Decision Making	15	24
Fire Prevention and Safety	9	4
First Aid/CPR	4	10
Hostage Survival	13	11
Human Relations/Communication Skills	24	28
Interviewing	11	9
Investigation Procedures	4	11
Legal Issues/Liability	9	22
Management Training	30	19
Psychology/Abnormal Behavior	13	22
Security Procedures	43	5
Self Defense and Physical Training	12	17
Supervision and Leadership	17	26
Women in Correctional Institutions	17	11

These differences in perceptions of needed courses cause one to question whether the academies are truly in touch with the needs of the field-- or do correctional agencies generally have accurate perception of their needs. Alternatively, agencies and academies may differ in course offerings because of the greater appropriateness of certain courses to one setting, e.g., courses of interest to only a few agencies are better taught at the agency level.

CORRECTIONAL ISSUES MODEL AND SURVEY RESULTS

The Correctional Issues Model posits three classes of interrelated issues that impact on the training of correctional personnel--valuative, policy, and practice issues:

- Valuative issues deal with views about the nature and causes of crime, the characteristics of offenders, and the role of corrections in dealing with offenders to conform with societal norms and human needs.
- Policy issues deal with the legal and traditional controls that guide the course of corrections, constraints determined in turn by the social, economic, and political milieu in which correction agencies operate.
- Practice issues deal with how valuative issues (social prescriptions for what corrections should do) and policy issues (legal proscriptions of what corrections must do) are combined and absorbed at the organizational level.

Agency Goals and Problems

There is much documentation of the Correctional Issues Model in accounts of the site visits in Chapter V and in our perceptions of the correctional environment described in Chapter VI. The national survey dealt with the model principally by way of assessing the relevance of various values and goals (Questions 6 through 21). In these questions respondents were asked to estimate the relevance of three groups of statements about the goals of the agency:

- Goals related to offender behavior.
- Goals concerning behavior of correctional staff.
- Goals for training of correctional staff.

A fourth group of statements concerned the perceived relevance of a number of resource and support problems that often hamper correctional agencies in carrying out their assigned functions.

Mean responses to these groups of statements are shown in Table VIII-43. It is apparent that those questions dealing with perceptions of problems (Questions 6 to 21) are rated as much less relevant than those associated with agency goals. The mean values across all agencies become more meaningful when examined in the order of their relevance, as is shown in Table VIII-44. It is evident now that the most relevant items are the group of goals concerned with control over offenders, and the least relevant items are those that deal with the resources and support for the agency. This is not surprising. In relation to the Issues Model, this suggests there is an hierarchy of values among correctional personnel. The highest order set of issues, the Valutive Issues, are rated as more important in affecting agency functioning by the respondents. The lowest order, the Practice Issues, are accorded lower relevance scores.

Relation of Goals to Agency Type

One wonders if there are differences in these goals between different kinds of agencies. Table VIII-45 shows the mean values for each question for different types of responding agencies. In general, there is a surprising consistency in the rank order of the relevance that agencies assign to the questions. There are nuances of difference, however, in the absolute values that responding agencies have assigned. As an example, consider the three types of agencies most represented in the sample, which also are quite diverse in responsibilities--prisons, probation agencies, and residential facilities for juveniles. The relevance values of these three types of agencies are contrasted in Table VIII-46. (The 16 questions again are ordered in the way that they were ranked in the total sample, already shown in Table VIII-44.) Differences in relevance values for certain goals are marked, and in the direction that would be predicted:

Table VIII-43
Mean Responses of Agencies as to Relevance of Agency Goals
and Perceptions (Questions 6 to 21)

	<u>Mean Relevance Rating*</u>
<u>For Its Offenders</u>	
6. Offenders <u>must conform to community values...</u>	1.74
7. Offenders <u>must achieve insight into problems...</u>	1.77
8. Offenders <u>must comply with rules and regulations...</u>	1.19
9. Offenders <u>must be equipped to use community resources...</u>	1.84
<u>Concerning Staff Work Performance</u>	
10. Staff must <u>inforce rules...</u>	1.15
11. Staff must <u>support and counsel offenders...</u>	1.34
12. Staff must <u>control offenders...</u>	1.49
13. Staff must <u>act as resource persons and advocates...</u>	1.91
<u>Concerning Training</u>	
14. ...to equip staff to <u>withstand tense and explosive situations.</u>	1.82
15. ...to provide staff with <u>problem-solving skills.</u>	1.38
16. ...to encourage staff to <u>make innovative, even risky, decisions.</u>	2.59
<u>Perceptions of Difficulties</u>	
17. Agency <u>decisions are excessively influenced by external forces...</u>	2.30
18. The agency is in a <u>real resource pinch...</u>	2.52
19. ... <u>offenders and workers challenge (agency) legitimacy and authority.</u>	3.28
20. ... <u>not given adequate tools or preparation...</u>	3.01
21. The employees feel <u>inadequately supported or protected in their work.</u>	2.80

*Relevance is rated on a scale of 1 (very relevant) to 4 (not relevant). A mean difference of .20 or greater between any two values is statistically significant at the 5 percent level of confidence.

Table VIII-44

Mean Values of Goals and Perceptions in Order of Relevance

Question	Mean Relevance Value
10. Staff must <u>enforce rules...</u>	1.15
8. Offenders must <u>comply with rules...</u>	1.19
11. Staff must <u>support and counsel offenders...</u>	1.34
15. ...provide staff with <u>problem-solving skills.</u>	1.38
12. Staff must <u>control offenders...</u>	1.49
6. Offenders must <u>conform to community values...</u>	1.74
7. Offenders must <u>gain insight into problems...</u>	1.77
14. ...equip staff to <u>withstand tense or explosive situations.</u>	1.81
9. Offenders must be <u>equipped to use community resources...</u>	1.84
13. Staff must <u>act as resource persons and advocates...</u>	1.91
17. Agency decisions are <u>excessively influenced by external forces...</u>	2.30
18. The agency is in a <u>resource pinch...</u>	2.52
16. ...encourage staff to <u>make innovative, even risky decisions.</u>	2.59
21. The employees feel <u>inadequately supported or protected in their work...</u>	2.80
20. ...not given <u>adequate tools or preparation.</u>	3.01
19. ...offenders and workers <u>challenge legitimacy and authority.</u>	3.28

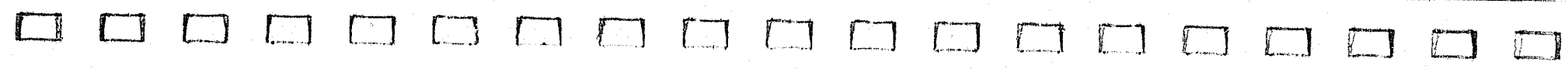


Table VIII-45

Mean Relevancy Values for Agency Goals and Perception of Difficulties

Question #	Type of Agency									
	Jail	Prison	Parole	Probation	Probation & Parole	Temporary Care	Halfway House	Residential Juvenile	Pre-release/Work Or Work/Release	Mean All Responses
6. Conform to community values	1.84	1.75	1.80	1.68	1.75	1.95	1.63	1.81	1.56	1.74
7. Offenders gain insight	2.03	1.85	2.15	1.88	1.78	1.73	1.73	1.70	1.87	1.77
8. Offenders comply with rules	1.23	1.10	1.38	1.15	1.21	1.23	1.12	1.30	1.09	1.19
9. Use community resources	2.03	1.97	1.73	1.88	1.78	1.73	1.56	1.73	1.78	1.84
10. Enforce rules	1.16	1.11	1.28	1.23	1.34	1.17	1.20	1.12	1.09	1.15
11. Give support and counsel	1.52	1.39	1.30	1.42	1.28	1.61	1.22	1.26	1.30	1.34
12. Control offenders	1.39	1.24	1.78	1.76	1.81	1.43	1.68	1.53	1.45	1.49
13. Act as resource persons	2.07	2.04	1.62	1.91	1.71	2.57	1.73	1.83	2.00	1.91
14. Withstand tense situations	1.55	1.64	1.93	2.12	2.13	1.87	1.95	1.81	1.92	1.81
15. Provide problem-solving skills	1.35	1.45	1.40	1.28	1.41	1.35	1.39	1.36	1.44	1.38
16. Make innovative decisions	2.55	2.80	2.45	2.49	2.69	2.35	2.27	2.36	2.84	2.59
17. Decisions influenced by external forces	2.16	2.11	2.50	2.27	2.22	2.26	2.59	2.46	2.47	2.30
18. Resource pinch	2.45	2.36	2.35	2.37	2.19	2.68	2.75	2.71	2.48	2.52
19. Offenders/workers challenge legitimacy	3.06	3.03	3.35	3.48	3.47	3.36	3.43	3.44	3.31	3.28
20. Inadequate tools and preparation	2.97	2.94	2.80	3.02	2.63	3.18	3.00	3.20	2.92	3.01
21. Inadequate support and protection	2.67	2.67	2.87	2.75	2.47	3.00	2.88	2.94	2.75	2.80
Range of SE of Questions 6-21	.07-.18	.02-.07	.08-.17	.06-.13	.08-.16	.08-.23	.06-.17	.03-.09	.04-.10	
Estimated mean SE	.14	.05	.12	.10	.13	.17	.12	.07	.08	

VIII-74

Table VIII-46

Contrast of Goal and Perception Relevance-Values for Prisons, Probation, and Juvenile Agencies

Mean Relevance Value

Question	Mean Relevance Value		
	Prisons	Probation Agencies	Residential Facilities for Juveniles
10. Enforce rules	1.11	1.23	1.12
8. Offenders comply with rules	1.10	1.15	1.30
11. Give support and counsel	1.39	1.42	1.26
15. Provide problem solving skills	1.45	1.28	1.36
12. Control offenders	1.24	1.76	1.53
6. Conform to community values	1.75	1.68	1.81
7. Offenders gain insight	1.85	1.88	1.70
14. Withstand tense situations	1.64	2.12	1.81
9. Use community resources	1.97	1.88	1.73
13. Act as resource persons	2.04	1.91	1.83
17. Decisions influenced by external forces	2.11	2.27	2.46
18. Resource pinch	2.36	2.37	2.71
16. Make innovative decisions	2.80	2.49	2.36
21. Inadequate support and protection	2.67	2.75	2.94
20. Inadequate tools and preparation	2.94	3.02	3.20
19. Offenders and workers challenge legitimacy	3.03	3.48	3.44

- Prisons attach greater relevance to control of the offenders (Question 12), to being able to withstand tense and dangerous situations (Question 14), and to their perception that the legitimacy of the agency is threatened (Question 19); they assign lower relevance to making innovative decisions.
- Probation agencies express less concern about control of offenders, withstanding tense situations, and questions as to the agencies' legitimacy, but greater concern for innovative decision making.
- Juvenile institutions tend to parallel probation values of highest relevance, e.g., use of community resources (Question 9), but then demonstrate more marked differences with less concern for decisions owing to external forces (Question 17), resource deficiencies (Question 18), support (Question 21 and 20), and challenge to the legitimacy of the agency.

Factor Analysis of the Questions

In order to determine the principal trends that underlie the entire matrix of questions 6 through 21, we factor analyzed the responses. The factor analysis resulted in four factors, as shown in Table VIII-47. These factors are:

- Factor I - Agency Resource and Support Problems
- Factor II - Offender Conformity to Community and Social Values
- Factor III - Maintain Control of Offenders
- Factor IV - Staff Training for Problem Solving and Decision Making

The first factor, Agency Resources and Support Problems, accounts for more variance within the matrix of 16 questions than any other factor. Yet, as is shown in Figure VIII-2, it has lower mean relevancy scores than is true for the other factors.

How do we explain these data? It is our conjecture that the concern over resource deficiencies influences the other goals and objectives and that it serves as a constraint on the operations within the whole correctional system. These factor analytic findings are bolstered and supported

Table VIII-47

The Four Major Factors and Their Content

Factor Loading

Factor I - Agency Resource and Support Problems

.78	20.	Inadequate tools and preparation
.77	21.	Inadequate support and protection
.69	18.	Resource pinch
.69	19.	Offenders and workers challenge legitimacy
.58	17.	Decisions influenced by external forces

Factor II - Offender Conformity to Community and Social Values

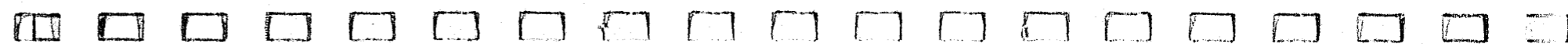
.71	7.	Offenders gain insight
.68	9.	Use community resources
.63	11.	Give support and counsel
.58	13.	Act as resource persons
.57	6.	Conform to community values

Factor III - Maintain Control of Offenders

.78	12.	Control offenders
.71	8.	Offenders comply with rules
.62	10.	Enforce rules
.50	14.	Withstand tense situations

Factor IV - Staff Training for Problem Solving/Decision Making

.69	16.	Make innovative decisions
.65	15.	Provide problem solving skills
.61	14.	Withstand tense situations



VIII-77

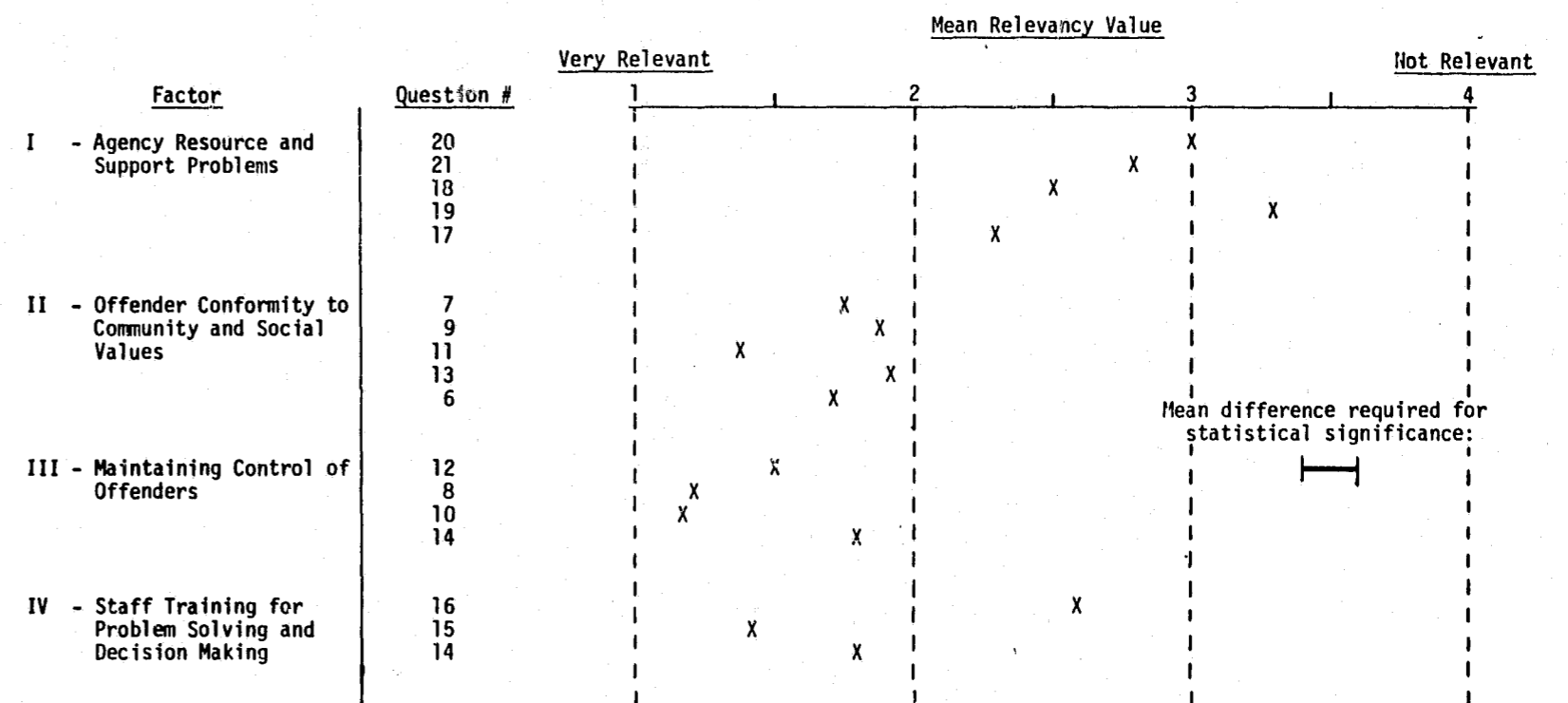


Figure VIII-2. Factor Loadings as Related to Relevancy Values.

by the responses to Question 55. We have noted there (see Table VIII-11) that the major problems reported by respondents dealt with lack of financial support, lack of staff, and inability of agencies to pay overtime or pay for replacement staff while personnel are in training. Our site visit findings also support this conclusion.

Why, then, are the relevancy scores greater for the other factors? The major reason is that there was more variability in the scores on these questions. Some agencies reported major resource pinches, while other agencies had fewer such difficulties. As a result, the mean relevance scores were lower than the scores on the other sets of items.

Relation of Agency Problems and Goals to Training

In addition to a consideration of agency goals and problems themselves, we also were concerned with the relation between goals, problems, and the training offered. In order to conduct these analyses, factor scores were used. Factor scores were computed by assigning unit weights to items with a minimum correlation of .50 on a given factor. These factor scores were correlated with the frequency that specific training courses were offered, the amount spent on training, and whether the use of training skills was encouraged by supervisors and staff. There were no significant correlations between these factor scores and the amount spent on training. There were some significant correlations between these factors and the frequency that certain training courses were offered, but since almost all the correlations were below .10, the practical importance is virtually nil.

The correlations with questions on the degree that peers and supervisors encouraged the use of training were modest; none were above .20 (see Table VIII-48). However, there are some interesting trends in these data. The correlations between agency resource and support problems and peer and supervisor encouragement are negative. One would have supposed that the greater the number of problems, the more agency staff would encourage all techniques, including training, to combat problems. This was not the case. Agency staff appear to react to agency problems by

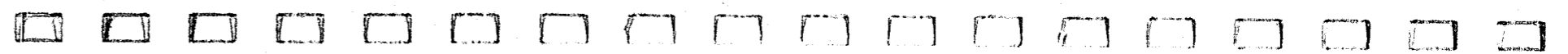


Table VIII-48

Correlation Between Factor Scores and the Degree that Supervisors and Peers Encourage the Use of Training Skills (Questions 52 and 53)

<u>Factor</u>	<u>Correlations for Supervisory Encouragement for the Use of Skills</u>	<u>Correlations for Peer Encouragement for the Use of Skills</u>
I. Agency Resource and Support Problems	-.16	-.15
II. Offender Conformity to Community and Social Values	.20	.18
III. Maintain Control of Offenders	.09	.14
IV. Staff Training for Problem Solving and Decision Making	.13	.15

NOTE: All of the correlations are statistically significant, $p < .05$.

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deciding that training will not reduce the problems under these circumstances, they may decide that attention must be given to immediate problems--that training is a luxury that can be deferred. The correlations between peer and supervisory encouragement and the other factors--maintain control of offenders, staff training and offender conformity--are positive. Certain agency goals, especially those concerning offender conformity to community and social values, appears to encourage, if not a belief in the efficacy of training, at least some willingness to encourage the use of training skills. This also may reflect an organizational climate in which concern for staff and clients is associated with the acceptance of management policies, including training.

A FINAL NOTE

The site visits and survey data have served two purposes--to enable us to describe problems, current practices in and content of correctional personnel training; and to provide data to document the conceptual models developed early in the project. It is clear that the conceptual models (particularly the Instructional System Operations Model) are supported by the survey results. The more useful training programs have been developed using need assessment and job analysis methods; the more useful programs have addressed job-related goals and objectives established early in the program development; the more useful programs use instructional techniques that encourage active involvement of persons being trained; programs informally or indirectly reward and reinforce good performance in training; the more useful programs are evaluated. Training program administrators and their staff should profit by using the Instructional System Operations Model in planning and conducting training.

The Correctional Issues Model offers nothing in the way of hard and fast rules for program development or for evaluation. Rather, it sets out questions that force the planner and evaluator to acknowledge the effects of the environment in which correctional personnel training is conducted. The prudent planner and evaluator then may be able to devise ways to deal with such factors to enhance and assure the success of the training programs.

This chapter presented the survey findings as they relate to the conceptual models. In the next chapter, these findings are discussed in a broader perspective.

CHAPTER IX

DISCUSSION

INTRODUCTION

In this chapter we try to place the results of the study into perspective. First, the findings of the research are compared with findings from prior studies to determine trends and changes in training. Then, the results are considered in light of current correctional training standards. Both of these discussions focus on the survey results, since these are the most appropriate for comparison. In the next section of the chapter, we present a general discussion of the entire research project and some recommendations for action based on the discussion. Finally, there is a list of conclusions from all phases of the research.

PRIOR RESEARCH

Rather than discussing either the nonempirical and the narrowly focused research studies on correctional training (see Phase I Preliminary Report for this project, May 1979 for a review), this section is focused on the results of a single study--the National Manpower Survey of the Criminal Justice System (1978), the most comprehensive previous study of correctional training. The National Manpower Survey of the Criminal Justice System (NMS), is particularly useful for comparison because of its thoroughness in both coverage of issues and in sampling.

Amount of Training

The NMS and the present survey both report a consistently high level (over 95 percent) of training provided by adult correctional agencies. The level of training in juvenile agencies, in contrast, seems to have increased. In the NMS, 28 percent of the agencies with juvenile offenders did not offer training. In the present study, 95 percent of the same type of agencies have their correctional personnel trained (see Table IX-1). Although the number of juvenile agencies

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Table IX-1
A Comparison Between the National Manpower Survey and the
Present Survey Concerning the Amount of Training
in Juvenile Agencies

<u>Survey</u>	<u>Entry-Level Training Only</u>	<u>In-Service Training Only</u>	<u>Both Entry-Level and In-Service Training</u>
National Manpower Survey	6%	20%	43%
Present Survey	4	36	54

offering training has increased, the average amount of training given to each staff member and the median level of funding is still greater in adult agencies (see Chapter VIII, Tables VIII-22 and VIII-24).

In the NMS, it was reported that probation and parole agencies offered less training than did other types of agencies. In addition, differences were found in the amount of training offered in parole agencies, probation agencies, and combined parole and probation agencies.

In comparing these findings to the present research, one notes an increase in the number of these types of agencies offering training with the greatest increase in the number of agencies offering in-service training only (see Table IX-2). There were still differences in the amount of training given in the different types of parole and probation agencies.

There are also differences between the NMS and the present survey regarding the amount of training received by supervisory personnel. In the NMS, between 8 and 13 percent of the agencies provided supervisory training to new supervisory personnel. In the current study, 66 percent of the supervisors received management training, and 75 percent received training in supervision. Unfortunately, the data from the present survey does not allow us to determine if this training was given to new supervisors. However, 60 percent of supervisors received entry-level training, so it is likely that at least 40 percent of the agencies provided supervisory and management training to new supervisors.

Content of Training

In general, the types of courses given to different correctional personnel has not changed during the time between the NMS (1974-1975) and the present study. Nor were major changes expected since the training offered then generally mirrored agency priorities. Unfortunately, some of the limitations in courses, described in the NMS, are still apparent. For example, in comparison to agency administrators' judgments of needed training (described in NMS), legal training is still deficient

Table IX-2
 A Comparison Between the National Manpower Survey and the Present Survey
 Concerning the Amount of Training in Parole and Probation Agencies

Agency	Percentage of Agencies Offering Training*			
	Entry-Level Training Only	In-Service Training Only	Both Entry-Level and In-Service Training	No Training
Parole	3 (9)	33 (20)	59 (60)	5 (13)
Probation	4 (8)	52 (25)	40 (40)	4 (27)
Combined Parole and Probation	9 (8)	31 (19)	58 (60)	2 (11)

*Data from the National Manpower Survey is in parentheses.

in parole and probation agencies, and too few prisons provide human relations training. The only noteworthy improvement in course content is observed in the training of child care workers. In the NMS, there was a recommendation for a greater balance between treatment and security-oriented courses, rather than the greater emphasis on security courses found in that survey. Such a balance is evident in the present study (see Chapter VIII, Table VIII-3).

Location of Training

In both surveys, the location of training offered to corrections personnel working with adult offenders is consistent. Most training still occurs at two locations--training academies and agencies--with a greater use of agencies for in-service training (see Table IX-3). The same trends seen in the adult agencies regarding training sites are also evident for juvenile agencies (see Table IX-4). In both surveys, however, there is less training at academies for the personnel at juvenile agencies.

Summary

In comparing the present survey and the NMS, there appears to be no increase in the overall amount of training given in the field. Rather, the specific programs and agencies which lagged in training 5 years ago--training in parole and probation agencies, agencies for juveniles, and supervisory training--have increased their training so as to be similar to other types of training. The increases in Federal and State funding, e.g., LEAA block grants, during this period may be a major factor in this change. The content of training has changed very little, also. This finding is expected. Course content 5 years ago was generally considered appropriate by agency administrators and it still is appropriate by this same population.

The settings in which training is given have not changed much. There is a slightly greater use of training academies reported in the NMS. It is possible that the centralization of training (into academies) reported in the NMS is decreasing. However, different definitions of training and training sites may have produced these small changes.

Table IX-3

A Comparison Between the National Manpower Survey and the Present Survey Concerning the Location of Training in Adult Agencies

Survey	Agency		Academy	
	Entry-Level Training	In-Service Training	Entry-Level Training	In-Service Training
National Manpower Survey	41%	54%	56%	40%
Present	53	65	45	29

Table IX-4

A Comparison Between the National Manpower Survey and the Present Survey Concerning the Location of Training in Juvenile Agencies

Survey	Agency		Academy	
	Entry-Level Training	In-Service Training	Entry-Level Training	In-Service Training
National Manpower Survey	38%	48%	10%	13%
Present	62	71	10	10

TRAINING STANDARDS

A comparison of the training reported in this survey with laws and mandates that apply to the training of correctional personnel would be an appropriate measure for assessing the comprehensiveness of current training efforts. Training programs for different types of agencies and within different jurisdictions, however, are subject to a variety of legislative conditions, state and departmental requirements. Additionally, programs that receive special funding (such as funding from LEAA or NIC) for training may be required to comply with standards set by the funding agency. In light of the variation in departmental and jurisdictional requirements, practice standards issued by professional associations, commissions, and advisory councils have been selected as a reference point with which to assess the state of correctional training reflected in survey results. We will, therefore, focus on four sets of current recommendations.

The 1969 Joint Commission on Correctional Manpower and Training (JCCMT) outcomes produced some general recommendations for the improvement of staff training programs. In 1973, the National Advisory Commission on Criminal Justice Standards and Goals devised standards for staff development, which were a bit more detailed, yet still limited in scope. The Commission on Accreditation for Corrections (1976, 1977a, 1977b, 1977c, 1977d, 1978a, 1978b) sponsored by the American Correctional Association, has produced the most recent and by far the most extensive practice standards for several types of corrections agencies including both juvenile and adult residential facilities, probation, and parole field services. The United States Department of Justice recently has drafted Federal Standards for Corrections (1978), which contain recommendations for training that are similar to, although less comprehensive, than the Commissions guidelines.

The four sets of standards and the Commission on Accreditation's Manuals of Standards for different types of agencies vary on several counts, such as whether or not a minimal number of hours required for

training is given, the degree to which suggested training courses are specified, and whether standards are set regarding trainer qualifications, budget allocations, and provisions for program development and evaluation. Considering variations in the different sets of standards, the presentation will be at a general level.

Amount of Training

The standards generally call for initial orientation training for all new corrections personnel during the first week of employment or prior to job assignment. Additional in-service training during the first year of employment is required in most cases. Annual in-service training each year after the first year is required in all agencies. When the length of training each employee should receive is mentioned, a minimum of 40 hours for both the general orientation and subsequent annual training is set. A minimum of 40 to 60 hours of supplementary training for new hires is also suggested. Additional training hours may be required for personnel who work in direct and continuing contact with offenders.

Survey results indicate that the average amount of training given last year was 40 hours of instruction. Since suggested training for new employees is often a minimum of 80 hours and for other employees is 40 hours, one would expect training time to be somewhat higher if agencies complied with the standards. Given the high turnover in correctional agencies (in prisons, at times, reaching 60 percent), and the consequent need for a great deal of entry-level (80 hours) training, the conclusion of insufficient training time is further strengthened.

Use of Outside Resources

Three sets of standards recommended the use of other agencies and community resources in developing and presenting training courses. In the survey, we found that most training was conducted either in-house or in training academies. Only for specialized training, was much given at other sites, i.e., at workshops (see Chapter VIII, Table VIII-16). With respect to course instructors, a comparatively small percentage

(about 16 percent) of agencies reported the use of college teachers, consultants, or community resource persons (see Chapter VIII, Table VIII-12). Section II of the survey contained a question concerning the persons involved in developing very useful and less useful courses. Here there was a greater use of outside resources. Forty percent of the agencies used consultants to develop very useful courses, and 27 percent used their services to develop less useful courses.

Problems

Respondents to the survey reported that the major problems with training were shortage of replacement personnel for those attending training and a lack of overtime pay for employees participating in training beyond their regular work hours (see Chapter VIII, Table VIII-11). In general, there is some question as to whether training is recognized as a legitimate maintenance activity within the correctional organization. This is supported by a lack of resources and policy support for the training function. The National Advisory Commission and JCCMT standards noted the lack of sufficient attention and funding for training, and suggested that the problem should be addressed through provision of steady Federal funding and increased state and local support. They mentioned difficulties that stem from a lack of replacement personnel and make general provisions for staff development, calling for administrative leaves for attendance to training. The Commission on Accreditation also suggested administrative leave and more directly addressed the issue, recommending allocations in the budget for relief staff and overtime compensation for those attending training.

Training Content

Only the Commission on Accreditation and, to a lesser extent, the Department of Justice made detailed recommendations concerning specific courses. The standards call for initial orientation to provide information on agency goals and objectives, policy and procedure, job responsibilities, and basics of supervision and report writing. In-service training is suggested in order to increase and sharpen skills related

to the specific job assignment, to familiarize employees with new developments in the field, and to reinforce knowledge and understanding of job fundamentals. Training in human relations, communication skills, problem solving, and guidance--areas that stress building a positive working relationship with the offender--were mentioned as topic areas for in-service training. Additionally, all sets of standards strongly emphasized the need for management and administrative training.

Course requirements for orientation training appear, from the survey, to be met in almost all cases, as the standards essentially require coverage of traditional and basic information for different types of agencies. Similarly, in-service training courses seem to provide instruction relevant to job responsibilities, if one accepts course names and job titles at face value. For example, corrections officers are more likely to receive training in security procedures and self defense than other personnel; counselors and caseworkers get training in case management, counseling techniques, and psychology, and so on (see Chapter VIII, Table VIII-3). Courses in counseling techniques, human relations, and communication skills were offered in over 75 percent of agencies that offer training, a relatively high frequency when compared with other course topics. Courses in response to current challenges in the field (e.g., legal issues, collective bargaining, and arbitration) were also provided, but not as frequently as others. Finally, survey results indicated that a good deal of training of management and administrative personnel occurs. Unfortunately, it is not possible from the survey to determine which training is given initially and which is given later in the person's career.

Training Techniques

The Commission on Accreditation's standards state that in-service training can allow the opportunity for employees to exchange experiences, define problems from their perspective, and communicate to the administration issues of special concern. While there are no specific provisions regarding techniques of instruction, this does imply that teaching

methods employed to encourage participant involvement in class activities would be appropriate and even necessary.

In the section of the survey concerning very useful and less useful training, respondents were asked to describe the training techniques used. Role play and group discussions were used by at least 78 percent of the very useful courses, and at least 42 percent of the less useful courses. Active involvement of trainees is clearly frequent. However, lectures are even more frequently used (see Chapter VIII, Table VIII-8).

OVERVIEW OF CURRENT TRAINING

The survey findings present a moderately favorable image of correctional training. Although certain problems are identified, especially those stemming from inadequate budgets, the training materials, the trainers, and the courses are given generally positive evaluations. The impression of correctional training is of overall effectiveness.

However, when speaking to individuals involved in providing training, one gets a very different impression. There is a sense of discontent experienced by those charged with providing training, but given few resources and little support in their efforts. In interview after interview, trainers expressed frustration in their efforts to provide meaningful and useful training. Beyond difficulties in obtaining funding for training, was the isolation of training from other agency functions. Trainers had difficulty influencing agency policies to be consistent with training guidelines.

Several findings in the survey also point to the isolation of training. Agency goals for staff and offender behavior, the problems the agency confronts and even the agency's goals for training are generally unrelated to the training offered. Although agencies provide generally appropriate training, the training does not seem to meet specific agency needs and goals. Not only do agency concerns seem to have little effect on training, but organizational policies act in a way to reduce the potential impact of training on agency functioning.

Since trainee performance is generally unrelated to career progress, trainees have little inducement to learn or to use the skills and knowledge provided in training.

Although our study provides no clear explanation for the isolation of training, one potential causal factor is suggested--limited resources. With inadequate funding, it becomes difficult to develop the most appropriate courses and to revise courses under changing conditions. Often available courses must be used without revision. Thus, agencies have difficulties providing courses most relevant to their special needs.

Although this explanation seems plausible, it does suggest a new question: What is the reason for poor funding? Perhaps training is isolated and given limited budgets because it is considered unimportant and ineffective. Such a judgment produces a cycle of inadequate funding, poor courses, negative evaluations, and a conclusion that training cannot produce meaningful organizational changes and does not deserve increased allocations.

If training is not considered effective, then it is unlikely that agencies will translate agency goals in training policies. Courses are more likely to reflect state mandates, current fads, correctional standards, available course materials, and trainer interests rather than agency needs.

An additional consequence of the absence of a translation of agency goals into training policy is the extent to which training programs lack any clear focus or goal. In the survey, several questions addressed goals for training. Agencies wanted their training to meet several, often contradictory, goals. It is not surprising that trainers feel that they cannot provide adequate training, if they are not given clear directions about what individual and organizational changes should result from training.

The absence of any focus for training is also seen in the range of courses given in correctional agencies. Agencies provide their staffs with a diversity of courses. There is no consistency in offerings within an agency. However, there is a great deal of consistency in training between agencies. In looking over the survey results, the most striking finding is the consistency in correctional personnel training. There was similarity throughout in the formal aspects of training--course offerings, problems, goals, and personnel being trained--clearly some of the major issues in training. This consistency was evident in a wide diversity of agencies; those offering different services, working with different types of offenders, having different problems, and different goals for staff and offender performance.

This conclusion, however, is not absolute. One exception is the differences in courses given to different types of personnel. A second exception concerned some limited differences between agencies; the greater frequency of security and self defense training in prisons, in jails, and in agencies working with only adult offenders. These findings seem consistent with current thinking in training and in corrections. Additionally, there is less frequent use of training in legal rights, investigative procedures, and interviewing in agencies with juvenile offenders. This is likely the result of the reduced legal rights applicable to offenders. As a consequence of this difference, juvenile agencies may be less restricted in dealing with their offenders and thereby, have greater control over their changes.

Correctional training is not, however, completely rigid. Along with the consistency in the formal aspects of training is the flexibility in the informal aspects of training. Faced with few resources, poor support, and a demand for a diversity of courses, trainers are not able to modify curricula, staffing patterns, or training materials, very much. However, within the formal constraints, trainers are attempting to revise courses so as to be more relevant to agency needs. The specific examples used in courses, the themes common throughout a course, the exercises given, and other components of training-in-action are used as coping mechanisms to meet the problems and needs of specific agencies.

In combination, the informal and the formal aspects of training perform both stabilizing and adaptative functions for the correctional agencies they serve. In its formal aspect, training serves as one mechanism for the socialization of personnel equipping them to perform basic work tasks. In its informal aspect, training serves as a vehicle for coping with environmental demands and pressures both internal and external to the organization.

The informal and formal dimensions of training are usually not integrated. We have already discussed one possible reason for the clear demarcation between components of training--inadequate funding. A second possible reason is that modification of the informal aspect of training, without revising the formal aspect, can be conducted with minimal intrusion. Trainers can adapt their courses without interferences from either agency administrators or legislators. Revisions in the formal components of training, e.g., developing a new course, requires outside discussion and evaluation. If trainers can adapt courses, albeit in a limited way, without such interference, they have greater control over their training efforts.

The small-scale modifications of training are the major ways that training programs attempt to provide adaptive training under trying circumstances. An alternative approach has not been used in sharing interagency resources. The isolation of agency training programs from each other is probably even more clear-cut than the isolation of training from other functioning within the same agency. Each agency develops and presents courses independently of other correctional agencies. The absence of sharing materials, instructors, and training sites, especially under conditions of generally inadequate funding, is striking.

The isolation of training programs from each other compounds the isolation of the programs from their home agencies. We noted a number of agencies developing courses other agencies already had used. The duplication of efforts is needless. Besides providing resources, programs can be used to provide the support that is otherwise lacking in correctional training.

We have made some disturbing conclusions about the correctional training environment--its isolation, its absence of support or adequate funding. Despite these difficulties, useful training is being conducted. What produces useful training under these circumstances? Some of the most interesting data in the survey concern the characteristics that differentiate courses selected as very useful from courses selected as less useful. Course development seems to play a significant role. Courses developed using data-based techniques--job analysis, needs assessment, and performance standards--are more likely to be useful than are courses developed using no special technique. Several findings point to the significance of relevance to agency needs in course development. Courses developed as a result of internal agency decisions, rather than those imposed from outside by certifying agencies, community pressures, legislation, court decisions, or crisis conditions, are more apt to be useful courses. Courses either developed especially for the agency or revised for agency use, and courses developed by agency trainers, are more likely to be very useful than less useful courses. Not only does relevance have a role in course development, but also in trainee acceptance. The two major problems in courses rated as less useful were lack of trainee interest and lack of awareness of course relevance.

In contrast to the importance of course development, is the effect of course functioning on usefulness. The methods used to select trainees, the trainees selected, the sites at which training is given, and course instructors all have only a small impact on judgments of the usefulness of the course. Evaluations of trainees, which are more frequently applied in useful courses, differentiate useful from less useful training courses. Certain training methods--discussion and role play--are also more frequent in courses judged to be very useful.

Useful and less useful courses also differ in their consequences. However, these differences are most likely the result of the courses' effectiveness rather than a possible cause. Useful courses are more likely to have been evaluated and the evaluations more likely to be used by the agency in making training decisions. Useful courses are also more likely to have job-related payoffs for employees taking the courses.

CONCLUSIONS

The following conclusions are drawn from Phase I of the project:

1. Lack of Resources. The problem most dominating correctional personnel training is lack of resources.

Problems most often cited were insufficient staff (so that personnel could be made available for training), and inability to pay overtime for staff being trained. Factor analysis of agency goal questions reveals a constellation of concerns closely related to financial resource deficiencies, including lack of support by and cooperation of the press, the courts, and the public. When there is not public support, there is not likely to be legislative and financial support.

2. Correctional Personnel Training. Nearly all correctional agencies (96 percent of those responding to the national survey) maintain that they train their personnel.

While training is accepted as a part of modern staff development practice, site visit data suggest that much training offered may be somewhat pro forma and not necessarily directed toward the most pressing problems in corrections. Agencies indicate they would like to be able to offer more training in three general areas: in supervision and leadership, in human relations and communication skills, and in crisis intervention/emergency procedures, and decision making.

3. Agency Goals. Goals considered most relevant by agencies concern training correctional staff to enforce agency rules and getting compliance by offenders to agency regulations.

In terms of relevance, agency goals fall generally into two broad categories, maintaining control of offenders, and equipping offenders to be able to conform to community and social values. Although there are some absolute differences across types of agencies in the relevance assigned these categories, all types of agencies rank these goals in

the same order. That is, jails and prisons rank the relevancy of their goals essentially the same as do probation and parole agencies, as do temporary care agencies, and so on.

4. Useful Courses. Agencies differ in the courses they judge to be more useful to them; relevance to agency and trainee needs determine the usefulness of the course.

In general, training courses judged very useful by questionnaire respondents were the procedural courses, such as basic orientation and security procedures; the communication courses, such as counseling and human relations; and the decision making courses, such as crisis intervention and supervision and leadership.

5. Characteristics of Useful Courses. Very useful courses, as compared to less useful courses, are characterized by clear and specific goals and the demonstration of clear relevance to the trainees' work.

Not only is the value of careful course development demonstrated, but teaching methods that involve group discussion, demonstration, and practice of knowledge and skill gained (as by role playing) contribute to the perceived usefulness of courses.

6. Training Program Development. Conduct of a job analysis, development of written standards for work performance, and assessment of need, all done prior to training program development, characterize courses judged most useful.

These time-honored techniques associated with more useful correctional personnel courses are supported by other survey evidence, e.g., respondents did not know who had developed the less useful course, or how the less useful courses came about; there was less evidence of evaluation of the less useful courses; the goals of less useful courses were not clear.

7. Sense of Powerlessness. There is a general sense of powerlessness of persons responsible for correctional personnel training.

This feeling of lack of effect seems to stem from a sense of isolation in the correctional organization and lack of political and administrative support, inadequate resources to perform the work required, a lack of opportunity to be self-correcting in training, and either no clear goals, or conflicting goals, for training.

8. Relating Training to the Correctional Environment. Correctional personnel training programs perform both maintenance and adaptive functions for the organizations they serve, the two kinds of functions rarely sufficiently integrated.

As a formal component of correctional organizations, training serves as a mechanism for the socialization of personnel, equipping them to perform basic work tasks. As an informal component of correctional organizations, training serves as a vehicle for coping with environmental demands and pressures. What seems conspicuously absent in correctional organizations is an explicit linkage of organizational goals to the environmental conditions in which the agencies operate.

9. Need for Evaluation Procedures. The need for evaluation procedures to be used as training is contemplated, developed, and progress is documented by interviews and questionnaire responses.

The Instructional System Operations Model provides an effective instrument for use in the development of a training program and for its formative evaluation as the program is carried out. The model has proven to be easily understood by correctional training personnel and appropriate for application to their programs. It is particularly useful in that it (a) focuses on assessment of training in terms of employee performance, and (b) examines the entire training process through step-by-step investigation of each of its components.

The Correctional Issues Model offers a useful conceptual structure to guide recognition and understanding of external forces influencing the correctional system and training activities. The model addresses social, political, and legal forces in corrections from both a theoretical

and practical viewpoint. It requires that the users identify and confront Valuative, Policy and Practice issues impacting upon the correctional system and on training activities in the system.

The Instructional System Evaluation Model develops strategies for evaluation dependent upon when in the training process evaluation is to be conducted, and then leads the evaluator through the steps of evaluation, directing attention to the factors that should be observed.

The usefulness of all the models will be demonstrated in Phase II of the project.

IMPLICATIONS FOR ACTION

There are several recommendations we could make to those who set policy and budgets for correctional agencies. Such recommendations are the obvious conclusions from this report--more adequate funding, coordinating training goals with agency goals and policy, providing clear goals for training, ensuring relief staff, encouraging the use of training skills, and linking training results to appraisal of job performance and other agency rewards. However, these recommendations have been stated before.

Many of these recommendations are not under the control of many of our readers--the trainers and training administrators. What actions can be taken independently by trainers and training administrators?

1. Develop training courses using data-based techniques. Such techniques do not have to be formal. Needs assessments can involve detailed talks with supervisors at the agencies. Regardless of the specific technique used, training should be linked to agency goals and objectives.
2. Correctional agencies should attempt to share training resources when engaged in similar work tasks. Agencies should, however, be certain that borrowed courses either meet or are revised to meet their needs.
3. Training should be carefully planned. The models described in this report can serve as a model for planning training.

4. Trainees should be informed why they are in training, how they were selected, and what they should learn from training (knowledge, skills, and attitudes).
5. Attempt to get others in the agencies involved in both the planning and conduct of training. Trainers can use these contacts to keep informed about agency needs and policy changes.
6. Trainers should consider innovating courses in small ways. We found that changes in the informal aspects of the course can be very effective.
7. Training should be evaluated either formally or informally.

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