

fifth edition

Corrections

an introduction

Richard P. Seiter

Fifth Edition

CORRECTIONS

AN INTRODUCTION

Richard P. Seiter

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BRIEF CONTENTS

Preface xiii
Acknowledgments xix
About the Author xxi

PART I Putting Corrections in Perspective

- Chapter 1 The History of Crime and Corrections 1**
- Chapter 2 Sentencing and the Correctional Process 30**

PART II Correctional Policy and Operations

- Chapter 3 Jails 61**
- Chapter 4 Probation and Intermediate Sanctions 88**
- Chapter 5 Prison Systems 120**
- Chapter 6 Parole and Prisoner Reentry 148**

PART III Correctional Clients

- Chapter 7 The Clients of Adult Correctional Agencies 186**
- Chapter 8 The Juvenile Correctional System 214**
- Chapter 9 Special Offenders 243**

PART IV Prison Life

- Chapter 10 The Management of Prisons 276**
- Chapter 11 Prison Life for Inmates 310**
- Chapter 12 The World of Prison Staff 338**
- Chapter 13 Custody within a Prison 366**
- Chapter 14 Treatment and Programs within a Prison 391**

PART V Issues in Corrections

- Chapter 15 Legal Issues and the Death Penalty 414**
- Chapter 16 Current and Future Issues in Corrections 448**

Endnotes 481
Glossary 509
Index 519

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CONTENTS

Preface xiii
Acknowledgments xix
About the Author xxi

PART I Putting Corrections in Perspective

Chapter 1 The History of Crime and Corrections 1

Introduction	2
Defining Corrections	2
<i>What Is Corrections?</i>	2
<i>The Mission of Corrections</i>	3
<i>Corrections as a Part of the Criminal Justice System</i>	4
<i>The Correctional Funnel and Correctional Policy</i>	6
Why Study Corrections?	7
Theories of Crime and Punishment	10
Early Responses to Crime	12
The Development of the Prison	14
<i>The Walnut Street Jail</i>	14
<i>The Pennsylvania System</i>	15
<i>The Auburn System</i>	16
Prisons throughout the Last Two Centuries	17
The Sentencing Goals of Corrections	21
<i>Punishment</i>	21
<i>Deterrence</i>	23
<i>Incapacitation</i>	24
<i>Rehabilitation</i>	25
<i>Restitution</i>	26
Chapter Review	27
<i>Summary</i>	27
<i>Key Terms</i>	28
<i>Review Questions</i>	28
<i>You Make the Decision...</i>	29

Chapter 2 Sentencing and the Correctional Process 30

Introduction	31
Pretrial Correctional Activities	31
<i>Diversion from the Criminal Justice System</i>	32
<i>Pretrial Detention in Jail</i>	34
<i>Release from Pretrial Detention on Bail</i>	35
<i>Alternatives to Bail</i>	36
<i>Pretrial Service Programs</i>	37
The Role of Plea Bargaining and Sentencing	39
Presentencing Correctional Activities	40
<i>Purposes of the PSI</i>	40
<i>Collecting Information for the PSI</i>	41
<i>Contents of the PSI</i>	42

- The Sentencing Decision 43
 - Sentencing Options* 43
 - Sentencing Models* 46
 - Discretion in Sentencing* 48
- Reforming Sentencing 52
 - Sentencing Policies and Incarceration Rates* 52
 - Re-examining Sentencing Policies* 52
- Creative Sentencing Options 56
 - Drug Courts* 56
 - Mental Health and Other Specialty Courts* 57
- Chapter Review 58
 - Summary* 58
 - Key Terms* 59
 - Review Questions* 60
 - You Make the Decision...* 60

PART II Correctional Policy and Operations

Chapter 3 Jails 61

- Introduction 62
- The History of Jails 62
- Current Jail Operations 63
 - Role and Functions of Jails* 63
 - The Organization of Jails* 64
 - Jail Populations* 64
 - The Increasing Use of Jails* 67
 - Admissions and Length of Stay* 68
 - The Jail Process and Daily Operations* 68
 - Jail Classification* 70
 - Jail Staffing* 71
- Design and Supervision in Jails 73
 - Creating a Secure Setting inside the Jail* 74
- Issues in Jails 77
 - Responding to Jail Crowding* 79
 - Legal Issues for Jails* 81
 - Dealing with Mentally Ill Offenders* 83
 - Preventing Suicides* 83
- Chapter Review 86
 - Summary* 86
 - Key Terms* 87
 - Review Questions* 87
 - You Make the Decision...* 87

Chapter 4 Probation and Intermediate Sanctions 88

- Introduction 89
- The History of Probation 89
- Modern Probation Operations 90
 - Organization of Probation* 91
 - Characteristics of Probationers* 92
 - Supervision* 93

<i>Conditions of Probation</i>	96
<i>Revocation of Probation</i>	97
Issues Regarding Probation	98
<i>Effectiveness</i>	98
<i>A Changing Style of Supervision</i>	100
<i>Probation Classification Systems</i>	102
Intermediate Sanctions	106
<i>Defining Intermediate Sanctions</i>	106
<i>Types of Intermediate Sanctions</i>	107
<i>The Effectiveness of Intermediate Sanctions</i>	116
Chapter Review	117
<i>Summary</i>	117
<i>Key Terms</i>	118
<i>Review Questions</i>	118
<i>You Make the Decision...</i>	119

Chapter 5 Prison Systems 120

Introduction	121
Current Status of Prisons in the United States	121
<i>The Role and Mission of Prisons</i>	123
<i>Growth of the Prison Population</i>	124
Adult Prison Systems in the United States	128
<i>The Federal Prison System</i>	129
<i>State Prison Systems</i>	134
<i>Other Public Correctional Systems</i>	140
<i>Private Correctional Systems</i>	141
A Question of Policy	146
Chapter Review	146
<i>Summary</i>	146
<i>Key Terms</i>	147
<i>Review Questions</i>	147
<i>You Make the Decision...</i>	147

Chapter 6 Parole and Prisoner Reentry 148

Introduction	149
The History of Parole	149
<i>Maconochie and the Mark System</i>	150
<i>Walter Crofton and the Irish System</i>	151
Parole Begins in the United States	151
<i>Parole and the Medical Model</i>	153
<i>Attacks on the Medical Model and Parole</i>	154
<i>Alternatives to Indeterminate Sentencing</i>	156
<i>Problems with Moving Away from Indeterminate Sentences</i>	159
Current Status of Parole in the United States	159
Operations of Parole	160
<i>The Organization of Parole Boards</i>	162
<i>The Parole Hearing</i>	163
<i>Supervision and Conditions of Parole</i>	164
Terminating Parole Supervision	168
<i>Revoking Parole</i>	169
<i>Legal Issues Regarding Revocation</i>	171
Effectiveness of Parole	172

Prisoner Reentry: A Changing Phenomenon	174
<i>Changes Over the Past Two Decades</i>	176
<i>Issues Faced by Offenders Returning to the Community</i>	177
<i>Recent Progress in Prisoner Reentry</i>	178
What Else Can Be Done to Improve Prisoner Reentry?	179
<i>A Systems Approach to Prisoner Reentry</i>	181
Chapter Review	183
<i>Summary</i>	183
<i>Key Terms</i>	184
<i>Review Questions</i>	184
<i>You Make the Decision ...</i>	184

PART III Correctional Clients

Chapter 7 The Clients of Adult Correctional Agencies 186

Introduction	187
Overview of Adult Offenders	188
<i>Gender, Race, and Ethnicity</i>	189
<i>Age of Offenders</i>	193
<i>Types of Offenses and Lengths of Confinements</i>	194
Male Offenders	195
<i>Male Offenders and Violence</i>	196
<i>Male Prisoners</i>	197
Female Offenders	198
<i>Women in Prison</i>	200
<i>Special Issues and Needs of Female Inmates</i>	201
<i>Legal Issues Regarding Parity for Female Inmates</i>	210
Chapter Review	211
<i>Summary</i>	211
<i>Key Terms</i>	212
<i>Review Questions</i>	212
<i>You Make the Decision...</i>	213

Chapter 8 The Juvenile Correctional System 214

Introduction	215
The Problem of Juvenile Crime	215
<i>Development of the Juvenile Justice System</i>	218
<i>Waiver of Juvenile Offenders</i>	221
Categories of Juvenile Offenders	221
The Juvenile Justice Process	223
<i>Steps in the Juvenile Justice Process</i>	224
Juvenile Residential Facilities	229
Juvenile Offenders in the Community	233
Legal Issues Affecting the Juvenile Justice System	234
Issues in Juvenile Corrections	236
<i>Juvenile Gangs and Juvenile Crime</i>	236
<i>Juvenile Competency and Mental Health Issues</i>	237
<i>Responding to Juvenile Drug Crime</i>	238

Chapter Review	241
<i>Summary</i>	241
<i>Key Terms</i>	241
<i>Review Questions</i>	242
<i>You Make the Decision...</i>	242

Chapter 9 Special Offenders 243

Introduction	244
Juvenile Offenders in Adult Criminal Courts	244
Prisoners with Substance Abuse Needs	247
Mentally Ill Offenders	251
Aging Offenders	254
Violent Offenders	256
<i>Recent Developments with Supermax Prisons</i>	262
Sex Offenders	263
<i>Treatment and Management of Sex Offenders</i>	264
<i>Sex Offender Recidivism</i>	265
<i>Civil Commitment of Sexually Violent Predators</i>	266
Offenders with Infectious Diseases	268
<i>HIV/AIDS</i>	268
<i>Tuberculosis</i>	271
<i>Hepatitis C</i>	272
Chapter Review	273
<i>Summary</i>	273
<i>Key Terms</i>	274
<i>Review Questions</i>	274
<i>You Make the Decision...</i>	275

PART IV Prison Life

Chapter 10 The Management of Prisons 276

Introduction	277
The Organization of Prisons	277
<i>State Departments of Corrections</i>	278
<i>Functions of the Office of Director</i>	278
<i>Prison Staff Organization</i>	285
Unit Management	289
Controlling Inmate Behavior	291
<i>Policies and Procedures</i>	292
<i>Inmate Classification</i>	294
<i>Inmate Discipline</i>	297
The Role of Staff in a Prison	302
<i>Recruiting, Hiring, and Retention of Correctional Staff</i>	302
<i>Collective Bargaining within Correctional Agencies</i>	305
Chapter Review	307
<i>Summary</i>	307
<i>Key Terms</i>	308
<i>Review Questions</i>	308
<i>You Make the Decision...</i>	309

Chapter 11 Prison Life for Inmates 310

- Introduction 311
- Prison Life for Male Offenders 311
 - Prison Culture and the Inmate Code* 313
 - Violence in Prisons* 316
 - Gangs in Prisons* 318
 - Homosexual Behavior in Male Prisons* 323
 - Drugs in Prisons* 326
 - The Function of Humor in Prison* 328
- Prison Life for Female Offenders 328
 - The History of Women's Prisons* 331
 - Culture in Women's Prisons* 333
- Chapter Review 335
 - Summary* 335
 - Key Terms* 336
 - Review Questions* 336
 - You Make the Decision...* 337

Chapter 12 The World of Prison Staff 338

- Introduction 339
- The Jobs of Prison Staff 340
- The Organization of Prisons 341
 - Prison Chain of Command* 342
- The Warden 342
 - The Role of Modern Wardens* 343
- Life for a Correctional Officer 346
 - The Daily Grind* 347
 - Stress and Danger* 349
 - Correctional Officer Careers* 350
 - Recruiting and Retaining Correctional Officers* 354
- The Roles of Other Prison Staff 355
 - Other Security Personnel* 355
 - Treatment and Program Staff* 355
 - Services Staff* 356
- The Prison Culture for Staff 357
- Female Correctional Officers in Men's Prisons 360
- Chapter Review 364
 - Summary* 364
 - Key Terms* 365
 - Review Questions* 365
 - You Make the Decision...* 365

Chapter 13 Custody within a Prison 366

- Introduction 367
- Security and Custody within a Prison 367
- Security and Custody Functions 369
 - Staff and Setting the Tone* 370
 - Inmate Accountability* 373
 - Control of Contraband* 378
 - Special Housing Units* 381

Inmate Riots and Disturbances	382
<i>Planning for Emergency Situations</i>	385
<i>Emergency Response Teams</i>	385
Chapter Review	389
<i>Summary</i>	389
<i>Key Terms</i>	389
<i>Review Questions</i>	389
<i>You Make the Decision...</i>	390

Chapter 14 Treatment and Programs within a Prison 391

Introduction	392
Treatment and Programs within a Prison	392
Identifying Inmate Treatment Needs	394
Types of Prison Programs	395
<i>Academic and Vocational Programs</i>	395
<i>Mental Health Programs</i>	401
<i>Substance Abuse Programs</i>	404
<i>Prison Work Programs</i>	406
<i>Religious Programs</i>	409
<i>Recreation Programs</i>	409
Chapter Review	411
<i>Summary</i>	411
<i>Key Terms</i>	413
<i>Review Questions</i>	413
<i>You Make the Decision...</i>	413

PART V Issues in Corrections

Chapter 15 Legal Issues and the Death Penalty 414

Introduction	415
Legal Issues Regarding Inmates	415
<i>The Development of Inmate Legal Rights</i>	415
The Bill of Rights and Congressional Actions Providing Inmate Rights	417
Specific Rights of Prisoners	419
<i>Conditions of Confinement</i>	419
<i>Religious Freedom</i>	421
<i>Medical Care</i>	423
<i>First Amendment Rights</i>	424
<i>Access to the Courts</i>	425
<i>Fourth Amendment Rights</i>	426
<i>Inmate Discipline</i>	427
Limiting Litigation by Inmates	428
Capital Punishment	430
The History of Capital Punishment in the United States	430
Legal and Statutory Provisions for the Death Penalty	431
Current Statistics Regarding Capital Punishment	435
<i>Death Row Prisoners</i>	435
<i>Executions</i>	436
<i>Operational Problems</i>	439

Reasons for Capital Punishment	439
<i>Deterrence</i>	439
<i>Retribution</i>	442
<i>Incapacitation</i>	443
<i>Cost</i>	443
Public Opinion Regarding the Death Penalty	444
The Potential for Error	444
Chapter Review	445
<i>Summary</i>	445
<i>Key Terms</i>	446
<i>Review Questions</i>	447
<i>You Make the Decision...</i>	447

Chapter 16 Current and Future Issues in Corrections 448

Introduction	449
Prison and Jail Populations	450
Politics and Policy	453
The Impact of Budgets on Correctional Policy	456
Private Prisons	461
<i>How Private Prisons Function</i>	462
<i>Issues in Prison Privatization</i>	462
<i>The Future of Private Corrections</i>	465
Importance of Staff Diversity	466
Effectiveness of Treatment Programs	468
The Impact of Technology on Corrections	471
Issues for the Future	473
Corrections as a Career	475
Chapter Review	477
<i>Summary</i>	477
<i>Key Terms</i>	478
<i>Review Questions</i>	478
<i>You Make the Decision...</i>	479

Endnotes	481
Glossary	509
Index	519

PREFACE

As an author, I am very excited about this introductory textbook on corrections. Having spent most of my life working in the correctional field, I have had the opportunity to work in many different situations and with many dedicated people. I am pleased to be able to pass on some of the experiences and information gathered over thirty years to students studying corrections and perhaps considering corrections as a career.

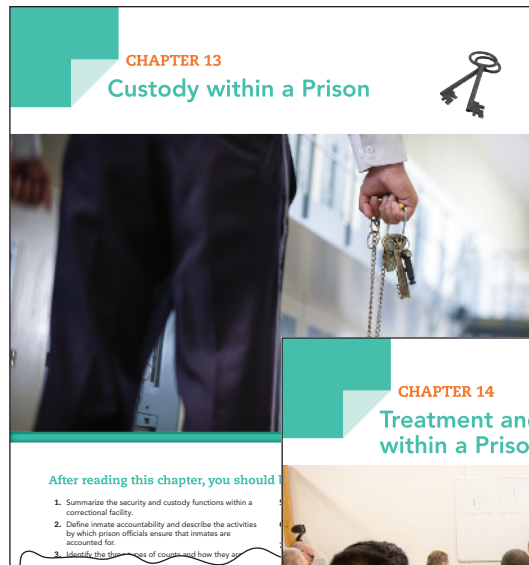
As such, the goal of this textbook is to provide students with a practical understanding of today's operations of corrections. The text includes correctional history and theory; however, the text concentrates on what we do in corrections, why we do it, and what challenges face contemporary correctional staff and administrators. The text also presents case studies, information on careers, and real examples of situations to provide students with an understanding of the practical aspects of working in corrections.

The fifth edition of *Corrections: An Introduction* has been updated to provide faculty and students with state-of-the-art information on the operations of the various elements of corrections and the issues faced by correctional policymakers and practitioners. These updates include the most recent data regarding correctional populations and costs, as well as new research and findings that have had an impact on correctional policy. The following are sections that are either new or substantially expanded and updated for the fifth edition.

New to This Edition

Coverage of Sentencing Policy Reforms

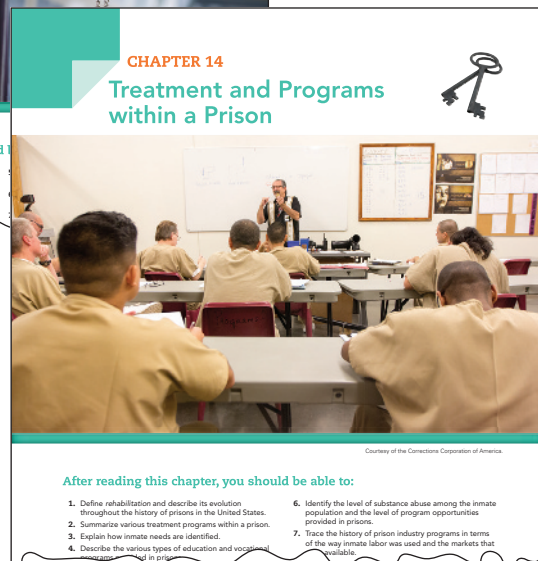
Over the past few years, there have been several reforms of sentencing policy. This edition contains new material that examines state-by-state incarceration rates and addresses these policy decisions. Included as well is the efforts to reduce costs and the resultant impact on correctional budgets.



CHAPTER 13
Custody within a Prison

After reading this chapter, you should be able to:

1. Summarize the security and custody functions within a correctional facility.
2. Define inmate accountability and describe the activities by which prison officials ensure that inmates are accounted for.
3. Identify the three types of counts and how they are used.



CHAPTER 14
Treatment and Programs within a Prison

Courtesy of the Corrections Corporation of America.

After reading this chapter, you should be able to:

1. Define rehabilitation and describe its evolution throughout the history of prisons in the United States.
2. Summarize various treatment programs within a prison.
3. Explain how inmate needs are identified.
4. Describe the various types of education and vocational programs provided in prisons.
6. Identify the level of substance abuse among the inmate population and the level of program opportunities provided in prisons.
7. Trace the history of prison industry programs in terms of the way inmate labor was used and the markets that were available.

Updated Information

The fifth edition of *Corrections: An Introduction* has been updated to provide faculty and students with state-of-the-art information on the operations of the various elements of corrections and the issues faced by correctional policy-makers and practitioners. These updates include the most recent data regarding correctional populations, costs, and new research and findings that impact correctional policy. For example, updates have been made to the following material:

- References to federal court decisions that affect current practices. Although references to court cases have been updated throughout the text, the updates are most significant in Chapter 15 in significant decisions impacting inmate rights and the death penalty.
- The impact of budgets on correctional policy. Because budget issues continue to have a major impact on correctional policy, further updates, activities, and implications have been added.
- Coverage of the challenge of getting and using drugs required in the protocols for administering the death penalty.
- Updates on the use of supermax prisons and administrative segregation.
- Recent issues and controversies in the operation of private prisons.
- Treatment program effectiveness and their impact on reducing recidivism.

Expanded Coverage of Current and New Topics

In Chapter 8, there is a new section describing the re-direction of policy and resources to move juvenile offenders from residential placement to community supervision. Chapter 10 includes new issues and information regarding the challenges of recruitment and retention of correctional staff. Chapter 13 includes a new section regarding improving prison security through staff communications and interactions with inmates. Chapter 16 includes updated information on the state of correctional budgets, changes in prison and jail populations, as well as a softening of the role of politics and the “tough on crime” emphasis.

Features of This Text

To give students a realistic and practical understanding of modern corrections, this textbook includes several features and approaches that are designed to heighten the learning process and make it interesting for students. Chapters include realistic experiences and insights into the real world of today’s correctional operations. Key features include the following:

Practical Focus

Each chapter includes a brief segment on history and theory, but focuses on the actual operations of prisons, community corrections, and jails. Students are able to experience the challenges that correctional workers face and the practical applications they use to meet these challenges.

A Look Into...

Several chapters include boxed case studies about real issues that have confronted staff members who try to manage today's correctional populations. These examples provide insight into the world of prisons, jails, and community corrections. Some of these describe how certain people look at their jobs or issues facing them, and others are a brief interview with someone working in the field described in the chapter.

A Look Into...

Prison Reforms through the Twentieth Century



T. Don Hutto

T. Don Hutto is a legend in prison administration and reform from the 1960s through the 1990s. He started as a correctional officer in Texas in 1964, and three years later was the warden of the Ramsey Unit, one of the largest Texas prisons. At the age of thirty six, he became director of the Arkansas Department of Corrections, just after the incidents around its operation led to the movie *Brubaker*. Hutto moved to reform both the Ramsey Unit and the Arkansas prison system, ending racial segregation and the use of building tenders (inmates who acted as armed guards over other inmates). He also dealt with reforms needed to move Arkansas from the unconstitutional system it was found to be in *Holt v. Sarver*. The following is a segment of a speech Hutto recently delivered to the North American...

busy redefining our charges as "convicts," "prisoners," "inmates," "offenders," "detainees," "residents," "patients," and even "students."

And, oh yes! We were at various times in the business of "reform," "rehabilitation," "punishment," "incarceration," "treatment," and of course, "reintegration." "Reform" has been a buzzword regarding prisons and corrections for as long as I, and probably any of you, can remember. The New Oxford American Dictionary says that reform means to "make changes in order to improve something." "Reform" is a useful catchword, as, according to someone or some group, just about every societal or cultural institution, needs to be "reformed." Today, the word "change" is more in vogue but "change" means making something different, not necessarily better. The term "change" is neutral and can be either positive or negative. Transform, on the other hand, means to make a thorough or dramatic change, and the radical changes which have taken place in Southern corrections in the last fifty years suggest what "transformed" the word meant, but for

Your Career in Corrections

Policy Analysts

It may seem odd to start out the "Your Career in Corrections" boxes by describing the job of a policy analyst. Students seldom have heard of this job, and few think about it as a way to begin their career track. However, it is very important to good government that correctional policy be thoughtfully considered with full information regarding cost, effectiveness, and impact. In 2011, American taxpayers contributed over \$80 billion to operate our correctional system, while much of what we do is not based on a thorough analysis of cost and impact.² This textbook emphasizes the policy choices that must be made as we reform, modify, and update correctional practices, and policy analysts can play a key role in this process.

A policy analyst who works on correctional issues can work for a variety of agencies. Most state (and some large county) correctional departments have a policy and research bureau. Its job is to conduct research and gather statistics to receive grants to conduct correctional research and employ researchers and analysts to examine an issue and write reports as requested by the funding agencies.

There are no reports regarding how many people work in these areas. However, at any one time, easily more than a thousand people are doing the work we have described. Depending on the sophistication of the issue, some will have a doctorate and be experts in research methodology, possibly with some educational emphasis in corrections or criminal justice research. Many others have a master's degree in sociology, criminal justice, business, or public administration and have skills to develop research and policy analysis criteria to be able to provide answers to questions regarding effectiveness or budget impact.

These jobs are not highly visible, yet can have a tremendous impact on the development of good public policy and save

Your Career in Corrections

Every chapter includes descriptions of jobs that students may carry out as a specific correctional application. For instance, in a discussion of halfway houses, there is a career box that notes the types of jobs available to staff entering this field, what they do, the requirements of the job, and the possible pay and work conditions they will face.

You Make the Decision...

At the end of every chapter, this feature presents real situations that someone working in the field may encounter. For instance, in a discussion of probation, students have to struggle with the decision as whether to revoke a probationer for failing to follow all conditions of supervision. The chapter regarding parole presents several scenarios for prisoners appearing before the parole board, and students must make a decision whether to recommend parole or not.

You Make the Decision...

Rating the Importance of Correctional Goals

No jurisdiction has to formally rate the importance of the five goals of corrections; however, the following exercise asks students to do just that. It can be done individually, but will be more fun and a better learning exercise in a small group.

Your instructions are to consider each of the five goals of sentencing and create a list of the favorable and unfavorable consequences of focusing on each one. For instance, someone might suggest that focusing on punishment can slowly undermine society's emphasis on fair and just treatment. Or, emphasizing incapacitation may result in positively affecting the crime rate, as incapacitated offenders cannot commit crimes in the community. After creating a list of an offender, whereas another believes it should first focus on rehabilitation? Each person should create his or her list, and then the group should discuss the lists and come to a group conclusion about the rating of goals by importance to society. The discussions, debates, and even arguments that result from this exercise should be both fun and a valuable learning opportunity.

Quality Assurance of Policy

Two activities used to ensure consistent implementation of prison policies are monitoring policy compliance and ACA accreditation. The method most commonly used to monitor policy compliance by staff is an active auditing program to determine the extent to which policy is effectively carried out and contributes to the mission of the prison. Prisons use a variety of auditing procedures to monitor compliance with operational policies. One of these, a **policy audit**, determines whether broad agency policy is in place at the prison. Policy audits match agency-required policy with local prison implementation procedures to ensure that procedures are in place at each prison to address each agency policy. In most states, the central headquarters dictates broad policy with which each prison in the state must comply. An example of a statewide policy regarding keeping contraband from entering the prison is that "all vehicles, carts, and boxes or packages must be thoroughly inspected before being allowed to enter or exit a prison." Each prison is required to develop and implement operational procedures to affect the required statewide policy. In this example, the prison describes how it will inspect the vehicles, carts, and boxes or packages, including where it will be done, who will do it, and what equipment will be necessary. A policy audit is valuable to begin an overall review of security operations, but only identifies whether the required scope of written, authorized, and mandated policies at the prison exists. It does not determine compliance with implementation consistency in practice, or thoroughness of procedures.

policy audit
a review to ascertain whether broad agency policy is in place at the prison

A Question of Policy

A valuable learning approach of the book is to focus on the policy implications of different theories and perspectives regarding corrections. All chapters address the practical issues of modern correctional policy development, and some chapters include a box entitled "A Question of Policy." By addressing policy, students receive insight into the critical policy challenges that result from today's practice of corrections. This box

An Interview With...

The Toughest Sheriff in America



Maricopa County (Arizona) Sheriff Joe Arpaio touts himself as the “toughest sheriff in America.” He was first elected and assumed the office of Sheriff in 1993 and has managed his jail to earn his reputation. He believes that inmates’ jail experiences should not be something they enjoy, but something unpleasant enough that they do not want to come back.

Some of what he does is extremely controversial, such as housing inmates in tents even during hot Arizona summers, serving only one hot meal a day, and requiring them to wear pink underwear. There have been lawsuits, concern from the U.S. Department of Justice, and settlements with inmates and advocacy groups. Although prisoner support groups complain about his methods, they have not been able to get him to change them.

and saved \$100,000 per year. I did not allow inmates to watch R-rated movies and did not allow Playboy or Hustler magazines. The pink underwear idea was not to embarrass inmates, but because they were stealing socks and underwear. By dyeing it pink, they did not steal it. When people heard about it, everyone wanted to buy pink underwear, so we started making pink underwear with my badge and name and raised money for our volunteer posse and to fight crime. We started a chain gang to make inmates work and do public service.

Question: What do you do next?

Sheriff Arpaio: I am running out of ideas. Our jail population is growing. We now have 10,700 inmates and are the second largest jail system in the country. We opened our Tent City in 1993 and have since expanded. We have more than 2,500 inmates living in tents now. We do many of the things we do for cost efficiency. We went to two meals per day, a brunch and an evening dinner. We serve cold baloney sandwiches for some meals. Our meal costs are only 14 or 15 cents per meal. We recently take all of our inmates from irons. We

presents dilemmas that face elected officials and correctional administrators in creating a policy that is most effective and efficient and that contributes significantly to the accomplishment of correctional goals.

An Interview With...

To provide a variety to perspectives from other key players in the correctional system, a feature entitled “An Interview With” provides personal accounts of correctional administrators, correctional officers, and inmates. These interviews are very valuable, as they add real and practical insights into the issues and operations of corrections.

Supplements

The fifth edition of *Corrections: An Introduction* is supported by a complete package of instructor and student resources.

Instructor Supplements

Instructor’s Manual with Test Bank. Includes content outlines for classroom discussion, teaching suggestions, and answers to selected end-of-chapter questions from the text. This also contains a Word document version of the test bank.

TestGen. This computerized test generation system gives you maximum flexibility in creating and administering tests on paper, electronically, or online. It provides state-of-the-art features for viewing and editing test bank questions, dragging a selected question into a test you are creating, and printing sleek, formatted tests in a variety of layouts. Select test items from test banks included with TestGen for quick test creation, or write your own questions from scratch. TestGen’s random generator provides the option to display different text or calculated number values each time questions are used.

PowerPoint Presentations. Our presentations offer clear, straightforward outlines and notes to use for class lectures or study materials. Photos, illustrations, charts, and tables from the book are included in the presentations when applicable.

To access supplementary materials online, instructors need to request an instructor access code. Go to www.pearsonhighered.com/irc, where you can register for an instructor access code. Within 48 hours after registering, you will receive a confirming email, including an instructor access code. Once you have received your code, go to the site and log on for full instructions on downloading the materials you wish to use.

Alternate Versions

eBooks. This text is also available in multiple eBook formats. These are an exciting new choice for students looking to save money. As an alternative to purchasing the printed textbook, students can purchase an electronic version of the same content. With an eTextbook, students can search the text, make notes online, print out reading assignments that incorporate lecture notes, and bookmark important passages for later review. For more information, visit your favorite online eBook reseller or visit www.mypearsonstore.com.

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It is the author's hope that students enjoy this textbook and find it easy to read and study, and that the practical perspectives motivate students to consider a career in corrections. Even if students decide that corrections is not a career opportunity for them, corrections is such an important component in today's criminal justice system that an understanding of how programs operate and how much they cost is important to taxpayers who must support their operation.

RICHARD P. SEITER, PH.D.

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ACKNOWLEDGMENTS

Writing and updating a book is a tremendous undertaking that could not be accomplished without the help of many people. I would first like to thank the many correctional colleagues who assisted me by granting me interviews, providing me advice, and giving me information that was used both for the general book information and to make the book come to life for students through their personal stories and situations. It is not easy to recall some memories of unpleasant situations, but through their candor and openness, readers will get a true understanding of what corrections is really like.

I thank the criminal justice and marketing group at Pearson Education. I also thank the following reviewers selected by Pearson whose feedback guided this edition of the book: Jennifer Bradford, Metropolitan State University of Denver; Scott Chenault, University of Central Missouri; Cherly Furdge, North Central Texas College; Carly Hilinski-Rosick, Grand Valley State University; Lorraine Samuels, Huston Tillotson University; John Sieminski, Manchester Community College; William Southern, Jr., Carteret Community College; and Quando Stevenson, Athens State University of Alabama. Their comments and suggestions were the foundation of this revision, are incorporated throughout the fifth edition of *Corrections: An Introduction*, and have made it a more informative and useful book for faculty and students of corrections.

I also thank the correctional agencies that were so helpful in giving me the opportunity to take pictures of their programs and facilities. Of greatest assistance was the Ohio Department of Rehabilitation and Corrections. Several individuals helped arrange the taking of photos and cooperated by providing information. The Missouri Department of Corrections was also helpful in providing material and information. The Federal Bureau of Prisons (BOP) provided several pictures for that agency. And staff members at Facility Support Center and many facilities of the Correctional Corporation of America were extremely helpful and cooperative. I also appreciate the assistance of the St. Louis County Justice Center and the St. Louis City Jail for allowing pictures to be taken of their facilities.

Finally, I thank my family and friends who encouraged and supported me throughout the process. My wife, Riffi O'Brien, has been an important part of this book development and progress, and I thank her for her love, support, and encouragement. My son, Matt, has been through this process with me before and continues to provide his commonsense advice and humor, and his personal work ethic is a constant motivation to me.

I also prepare and dedicate this edition to the memory of my parents, Paul and Rosemary Seiter, who blessed me with a work ethic and encouraged my continued education and learning.

Thanks to all of you. You made the fifth edition of *Corrections: An Introduction* a reality.

RICHARD P. SEITER, PH.D.

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ABOUT THE AUTHOR



Richard P. Seiter is a career correctional professional, having worked in prisons and for correctional agencies for more than thirty years. Following receipt of his Ph.D. in Public Administration from the Ohio State University (OSU), he was a research associate and Assistant Director of the Crime and Delinquency Center at OSU. In 1976, he began a career with the BOP and worked in two federal prisons (the Federal Correctional Institution in Dublin, California, and the U.S. Penitentiary in Leavenworth, Kansas). He was Director of the BOP Staff Training Center in Denver, Colorado, and became the first Chief of the NIC National Academy of Corrections in Boulder, Colorado. He served as warden of two federal prisons (the Federal Prison Camp in

Allenwood, Pennsylvania, and the Federal Correctional Institution in Greenville, Illinois). He also served as both Assistant Director for Industries, Education, and Training and Chief Operating Officer of Federal Prison Industries, with sales of over \$400 million per year of prison-made products.

Dr. Seiter was Director of the Ohio Department of Rehabilitation and Correction for almost six years. In this position, he was responsible for all Ohio prisons, the parole board and parole supervision, and many community correctional programs. He managed an annual budget of \$400 million and a staff of 8,000, and he oversaw the construction of more than 10,000 prison beds at a cost of \$500 million.

After retiring from the BOP, he became Professor and Director of Criminal Justice at Saint Louis University (SLU). During this time, he wrote two textbooks, published several articles, and expanded the program and course offerings at SLU.

From 2005 until 2011, he was Executive Vice President of Corrections Corporation of America, the largest private prison company in the United States. In this position, Dr. Seiter oversaw the operation of the sixth largest prison system in the country, with 63 prisons, 17,000 staff members, and 75,000 inmates.

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Fifth Edition

CORRECTIONS

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CHAPTER 1

The History of Crime and Corrections



Riffi O'Brien

After reading this chapter, you should be able to:

1. Summarize the definition, mission, and role of corrections.
2. Identify how corrections can affect the crime rate by understanding the concept of the correctional funnel.
3. Outline the growth of corrections over the past two decades and describe why the scope of correctional budgets, staffing, and clients makes it important for students to study corrections.
4. Contrast the Classical School with the Positive School of criminology.
5. Summarize early responses to crime prior to the development of prisons.
6. Outline the development of the prison.
7. Describe the operations of the Walnut Street Jail, the first American prison.
8. Compare the Pennsylvania system with the Auburn system of imprisonment.
9. Describe prison development from the Reformatory Era to the Modern Era.
10. List the acts of Congress regarding the sale of prison-made products and describe their impact on the end of the Industrial Era of prison operations.
11. Describe the Rehabilitative Era and the medical model of corrections, and explain how this era evolved into the Reintegrative Era.
12. Summarize sentencing goals and primary punishment philosophies.
13. Define the theories of specific and general deterrence.

Introduction

What is corrections, how does it relate to the other components of the criminal justice system, how does it operate, how well does it work, and why should it be studied? This textbook is designed to answer these questions. Although these questions are worded as if “corrections” is a clearly defined and well-bounded activity, this is far from the case. Corrections includes a wide variety of activities, each with a wide variety of emphases and goals; some of the components have direct relationships with other correctional or criminal justice activities, and others operate almost independently. Corrections has been described as a system of fully integrated services and functions, and it has been described as a nonsystem with no coordination or shared mission by any of its components.

Throughout this text, students will learn how government, private, and not-for-profit agencies all contribute to corrections and the correctional process. The text covers history, theories, operations, costs, and effectiveness. It goes beyond providing students a historical perspective, an encyclopedia of terms, and general information regarding corrections. In addition, the text emphasizes practice as well as theory; the challenges to accomplishing the mission of correctional agencies; and the roles of the people who work in, are supervised by, or are affected by the correctional process. The goal of this textbook is to help students understand (1) how various factors throughout the historical development of corrections influenced the basic operating foundations of today, (2) the linkage of theory and practice, (3) how correctional policy is developed and enacted, (4) the manner in which current correctional policy is put into practice by correctional agencies, and (5) the difficulty in carrying out the functions of correctional agencies in a cost-efficient manner.

Defining Corrections

What is meant by “corrections” and why is the term *corrections* used to refer to the legal punishment of criminal offenders? Does the use of the term *corrections* mean that it is the principal function of the management of criminals after sentencing? In this section, we define *corrections*; address these questions; and look at the historical development of terms, titles, and corresponding philosophies as our current practices evolved from the earliest approaches to punishing criminals. Terminology in any discipline usually comes from the role, mission, and expectations of the activities that are described. For our study of corrections, we examine the use of various terminologies over time, how they relate to the mission of corrections, and how corrections fits into the larger activities of the criminal justice system.

What Is Corrections?

Corrections is an interesting term to use to describe the punishment of offenders for the crimes they have committed. However, *corrections* offers a broader perspective on how agencies deal with criminal offenders. Previously, the term **penology** was used instead of corrections. *Penal* is defined as pertaining to or imposing punishment and is derived from the Latin term *peonalis*, meaning “punishment.” Penology is simply the study of punishment. Until the 1950s, the functions, components, and actions of carrying out criminal sanctions regularly used the term *penal*, and penal institutions (prisons) and penal systems (organizations to carry out punishment) emphasized the principal function of

penology

the study of the use of punishment for criminal acts

implementing punishment in the handling of criminal offenders after their sentencing.

However, since the founding of the United States and the creation of the prison as a method for punishment in the late eighteenth century, prisons and other correctional agencies have played a broader role. The Walnut Street Jail, established in 1790 as the first prison designed to house sentenced offenders in the United States, had reformation of the offender as its primary objective. Inmates were expected to read the Bible, reflect on their wrongdoing, and do penance for their crimes. Hence, from penance, the term **penitentiary** was established and used for secure facilities used to hold offenders serving a criminal sentence.

As noted, penology is the study of punishment. However, this term generally included a much broader focus than simply punishment and effectively covered the theories, activities, and operations of carrying out the criminal sentence, whether in a prison or in the community. During the 1950s, the nation's penal system evolved such that the rehabilitation of offenders replaced punishment as its primary objective. This philosophical change affected theory and practice, and the term *penology* was replaced by the term **corrections**. For purposes of this textbook, *corrections* is defined as the range of community and institutional sanctions, treatment programs, and services for managing criminal offenders. As such, corrections includes functions such as the supervision and monitoring of offenders in the community, the secure holding of inmates in prisons, the provision of treatment for problems such as drug addiction or mental illness, and residential and other services provided to inmates as a transition from prison to the community.

In most diagrams of the criminal justice system, corrections is illustrated as the functions for dealing with criminal offenders after a court sentences them. However, the boundaries of corrections have expanded, and corrections now also relates to the detention in jails of offenders charged with crimes, as well as pretrial services such as supervising offenders released on bail. This broader characterization of corrections acknowledges that correctional agencies are often required to deal with offenders who have not yet been found guilty and sentenced to a punishment. This broader definition also makes the establishment of a mission for corrections more difficult and complex.

The Mission of Corrections

A mission is the statement of what an organization is to accomplish. The mission of corrections has traditionally been to implement court-prescribed sentences for criminal violators or to carry out the sentence of the court. Such a mission statement is rather narrow and indicates a lack of control or initiative by correctional agencies as to their functions and how they are to carry them out. However, most contemporary correctional administrators recognize a much broader mission and



One of the earliest known bodies of penal codes is the Code of Hammurabi, created during King Hammurabi's reign of Old Babylon, ca. 1780 BC. The code is best known from this carved stone, now in the Louvre Museum in Paris. Photo by Matthew Seiter.

penitentiary

the term first used to describe secure facilities used to hold offenders serving a criminal sentence; still used today for some older or highly secure prisons

corrections

the range of community and institutional sanctions, treatment programs, and services for managing criminal offenders

responsibility. The more complete mission of corrections is to protect society, accomplished through a combination of surveillance and control of offenders, of treatment and rehabilitative services, and of incapacitation during the service of a prison sentence.

In practice, correctional agencies fulfill their mission by assisting courts in the decision to grant bail, by providing the courts with information to guide sentencing, by supervising offenders in the community under court jurisdiction, by imprisoning offenders who receive a sentence of incarceration from the courts, and by overseeing inmates' reentry to the community. Society is protected in the short term as correctional agencies either detain offenders in jail or incarcerate them in prison, thus separating them from society and keeping them from further victimizing citizens in the community. The longer-term protection of society results from correctional agencies providing treatment and services to help offenders become less likely or less motivated to return to a life of crime and more likely to become productive and law-abiding citizens.

Corrections as a Part of the Criminal Justice System

Figure 1.1 is an illustration of the criminal justice system. There are generally thought to be three major components of the criminal justice system: police, courts, and corrections. In the ideal process of criminal justice, the police investigate crimes and arrest suspects, handing over the results of their efforts (investigative information and evidence) to the court system. Prosecutors determine whether a crime has been committed and whether there is probable cause to believe that the suspect has committed the crime. If so, the courts then oversee a determination of guilt for the suspect. If the offender is found guilty, the courts sentence him or her to an appropriate sentence within the state **penal code**, the legislative authorization to provide a specific range of punishment for a specific crime. Once the offender is sentenced, correctional agencies carry out the sentence.

penal code

a legislative authorization to provide a specific range of punishment for a specific crime

However, where the correctional system begins and ends is not as clear as indicated in Figure 1.1. The figure illustrates probation, prison, parole, residential community placement, and revocation of probation and parole, appropriately depicted as part of the "corrections" section of the criminal justice process. However, supervision during bail, detention in jail, diversion programs, and intermediate sanctions are not included in this diagram as part of corrections. Yet these functions are legitimate components of corrections, especially over the past two decades, as corrections (as well as other criminal justice components) has expanded its activities and functions across traditional lines and boundaries. Today, correctional agencies supervise offenders released during the pretrial process; police assist probation officers in supervising community offenders; and courts maintain jurisdiction and supervise offenders even after their release from prison. All of this makes a simple illustration of the criminal justice system and delineation of the major components almost impossible.

Even within the grouping of activities that is referred to as corrections, there are differences among jurisdictions. No one system of corrections exists across the country. There are three governmental levels of correctional systems: federal, state, and thousands of local (county and city) correctional systems. In each state, the role distinctions between what is done at the state versus the local level are different. Some state correctional systems operate all probation activities, whereas in other states counties carry out probation. Some states have a sentencing structure that includes release on parole; others do not. And in some states there are statewide or regionally operated jails, and in others jails are solely within the domain of the city or county.

THE CRIMINAL JUSTICE SYSTEM

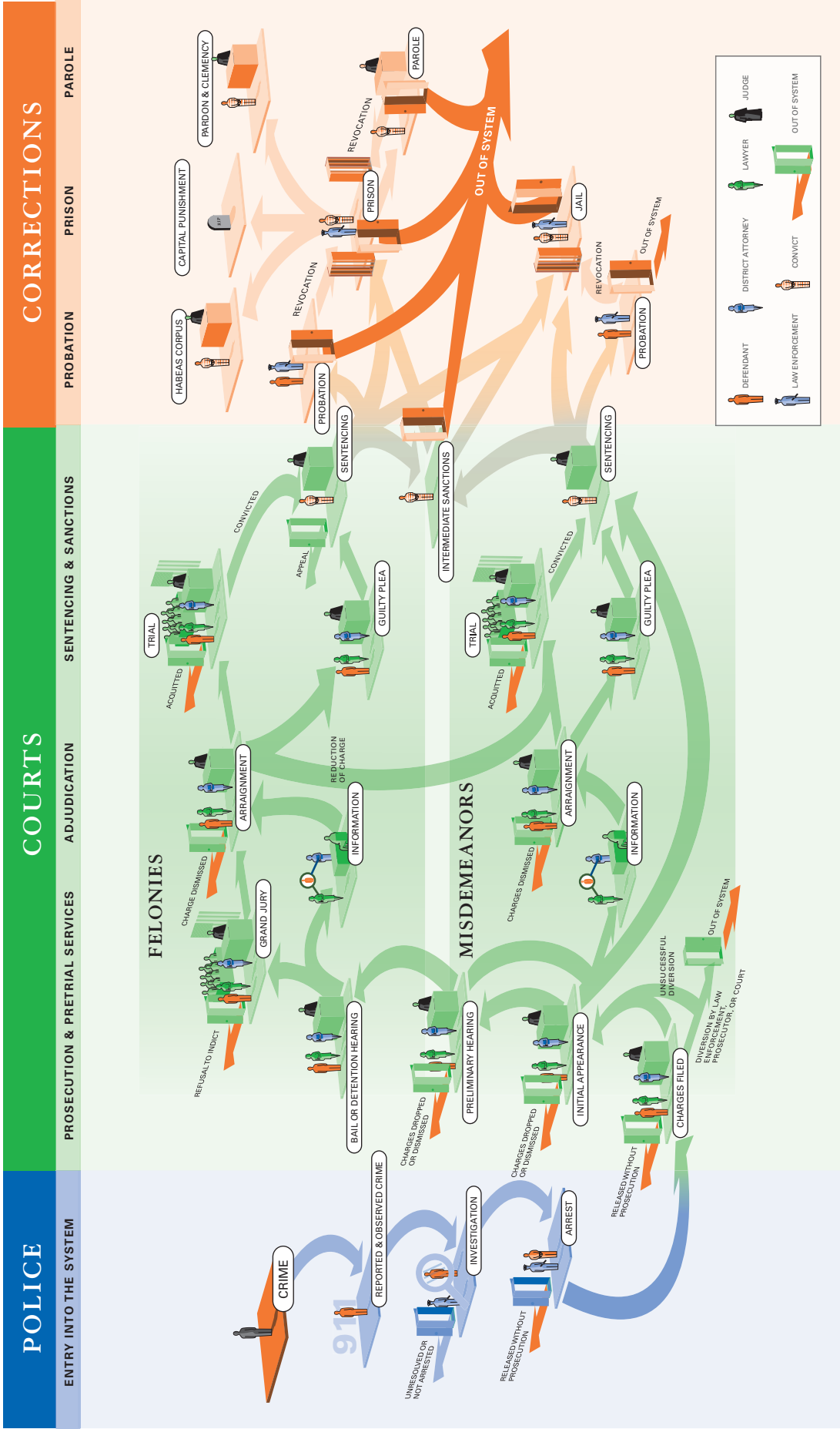


FIGURE 1.1 The Criminal Justice System

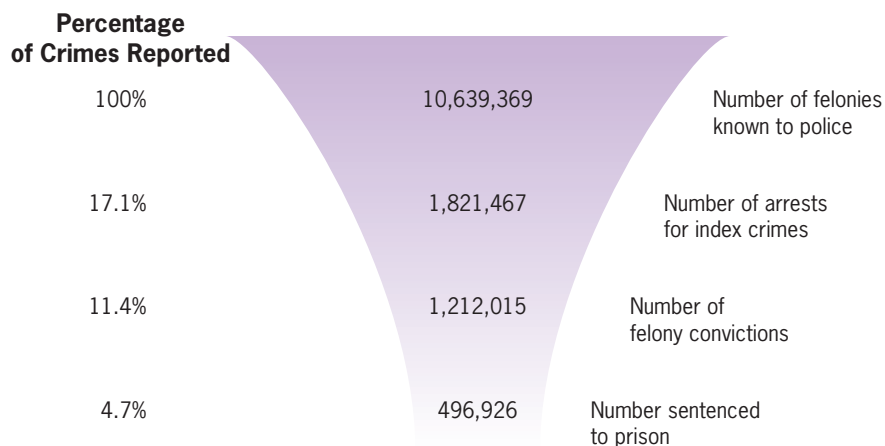
The Correctional Funnel and Correctional Policy

As stated above, the mission of corrections is to protect society by reducing future crimes. As one of the three major components of the criminal justice system, the public considers that corrections, in administering punishment to criminals, prevents future crimes through deterrence and incapacitation, limiting offenders' opportunity to commit further crimes, or reducing their inclination to commit crimes as a result of correctional treatments. The fallacy in this expectation is that the correctional system in reality handles an extremely small percentage of criminals, and an even smaller number is sentenced to prison. The *correctional funnel* (Figure 1.2) is a term used to describe this phenomenon; there is a large numerical difference between the number of crimes reported and the number of offenders convicted and facing a term in prison.

As illustrated in Figure 1.2, of approximately 10.6 million felony crimes known to police in 2009, only 1.8 million individuals (17.1 percent) were arrested, 1.2 million (11.4 percent) were convicted, and about 496,926 (4.7 percent) received a sentence of imprisonment. The remainder of convictions received either or both a short jail term or probation.¹ The public policy issues is that it is often argued that toughening sanctions by lengthening prison sentences will deter offenders, and that keeping them in prison longer will significantly reduce crime. However, the relatively small number of crimes that result in a sentence of imprisonment make it unlikely that even major increases of prison sentences will have a significant impact on crime rates.

The previous few sections included a description of the mission of corrections, a description of the role of corrections within the criminal justice system, and a discussion of the correctional funnel. All of these relate to the outcomes resulting from the development of correctional policy. For discussion purposes in this text, the development of correctional policy is the process that includes considering the mission and role, relevant information, and the best interests of the public (in terms of issues such as safety and cost), and then deciding what broad approaches to take to best meet the goal of protecting society. The correctional funnel is a good example of how, with thoughtful examination, it can be seen that extending sentences significantly may have a deterrent and incapacitative effect on those in prison. However, since they represent such a small percentage of the overall population that commits crimes, the direct impact on a reduction of crime rates is questionable.

Throughout this textbook, the “A Question of Policy” boxes encourage discussion of some of the difficult policy issues facing public officials and



Source: Data from *Sourcebook of Criminal Justice Statistics*, available at <http://www.albany.edu/sourcebook> (accessed August 6, 2014). Data included in Tables 3.107.2009, 4.1.2009, 5.44.2006, 5.24.2006, and 5.47.2002.

FIGURE 1.2 The Correctional Funnel

Your Career in Corrections

Policy Analysts

It may seem odd to start out the “Your Career in Corrections” boxes by describing the job of a policy analyst. Students seldom have heard of this job, and few think about it as a way to begin their career track. However, it is very important to good government that correctional policy be thoughtfully considered with full information regarding cost, effectiveness, and impact. In 2011, American taxpayers contributed over \$80 billion to operate our correctional system, while much of what we do is not based on a thorough analysis of cost and impact.² This textbook emphasizes the policy choices that must be made as we reform, modify, and update correctional practices, and policy analysts can play a key role in this process.

A policy analyst who works on correctional issues can work for a variety of agencies. Most state (and some large county) correctional departments have a policy and research bureau. Its job is to conduct research and gather statistics that can assist the agency in making policy decisions, provide justification for funding, and assist in creating future strategies and directions for the agency. Legislative bodies always employ policy analysts, and some are assigned to criminal justice or correctional committees. They also conduct research on the effectiveness of correctional programs, usually to aid the legislative body in funding decisions. Some nonprofit agencies employ analysts to examine correctional issues. Groups that are interested in issues such as drug treatment, sentencing, or employment issues for offenders conduct studies to assist in their lobbying efforts to urge that certain policies be implemented. Finally, universities or other research groups often

receive grants to conduct correctional research and employ researchers and analysts to examine an issue and write reports as requested by the funding agencies.

There are no reports regarding how many people work in these areas. However, at any one time, easily more than a thousand people are doing the work we have described. Depending on the sophistication of the issue, some will have a doctorate and be experts in research methodology, possibly with some educational emphasis in corrections or criminal justice research. Many others have a master’s degree in sociology, criminal justice, business, or public administration and have skills to develop research and policy analysis criteria to be able to provide answers to questions regarding effectiveness or budget impact.

These jobs are not highly visible, yet can have a tremendous impact on the development of good public policy and save taxpayers millions of dollars. A key criterion for someone desiring to work in this field is to be ethically and professionally grounded. Many of the employing agencies noted above may have an “answer” they are looking for to move forward on a policy they would like to see adopted and only want the analyst to give them evidence to use in their arguments in favor of their preferred policy. However, it is critical for analysts to be above justifying a preferred position, without the true data and information to do so. Research and policy analysis should be unbiased and show the true impact of a program or practice. Truly professional analysts will never short-cut their examination or not cite evidence contrary to their agency’s desired outcome.

correctional administrators. Staff members who work in corrections to aid in the policy development process are correctional policy analysts. These positions represent interesting and valuable potential jobs for students majoring in criminal justice and corrections. The “Your Career in Corrections” box presents the role of policy analysts.

Why Study Corrections?

The criminal justice system and corrections are a booming business. The number of clients processed and managed by the criminal justice system is much greater than in the past. The amount of money directed to criminal justice agencies has expanded exponentially. The availability of jobs for those seeking a profession in the criminal justice system has increased significantly. And the interest in corrections by the general public and elected officials has grown tremendously. Today, few citizens of the United States do not have some understanding and knowledge of the criminal justice system, and almost everyone has an opinion on how the

system should operate or be changed. Crime and corrections have gone through a metamorphosis from an almost invisible public function to one that seems to be on the minds of almost all members of society.

The number of clients under the supervision of correctional agencies (on probation, in prison or jail, and on parole) has increased significantly over the past three decades. By the end of the twentieth century, more than six million offenders were either in prison, in jail, or under supervision in the community. Table 1.1 illustrates the growth from 1980 until 2012, during which there was a 352 percent increase in the number of offenders on probation, a 405 percent increase in the number of offenders in jail, a 464 percent increase in the number of inmates in prison, and a 387 percent increase in the number of offenders on parole.

While this growth has been very dramatic, there has actually been a moderate reduction over the past few years. Most of this reduction was in the number of incarcerated offenders, as states and local jurisdictions have attempted to reduce the overwhelming cost of supervising offenders. It is much less expensive to supervise clients in the community than in prison or jail. Recent estimates are that the average per day cost to incarcerate a prison inmate is over \$85,³ and only \$3.42 per day for community supervision.⁴

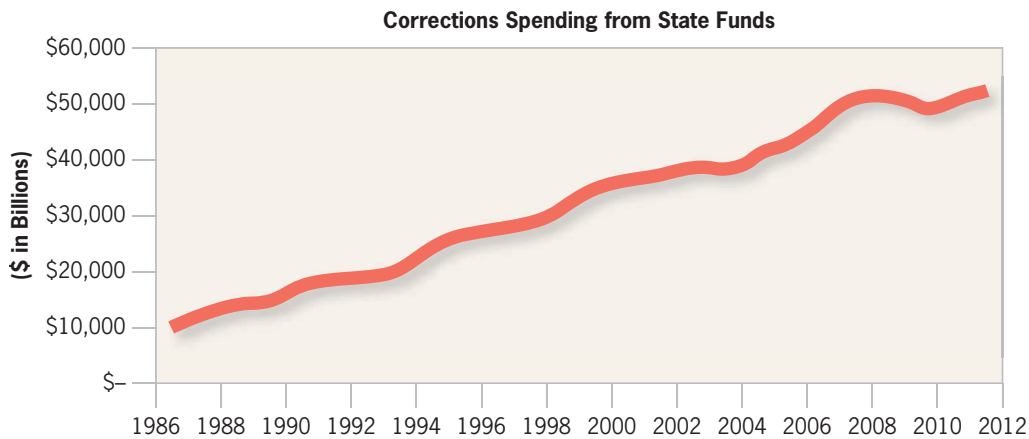
Yet, corrections is still a significant user of public funds, and therefore continues to be a key focus of elected officials and other criminal justice policy makers. Expenditures for state correctional agencies jumped from \$15 million in 1982 to \$52.4 billion in 2012⁵ (Figure 1.3). In fiscal year 1991, state and federal adult correctional agencies' budgets totaled \$18.1 billion.⁶ But by fiscal year 2011, correctional budgets at federal, state, and local jurisdictions was more than \$80 billion.⁷

Over the past two decades, the need has increased for staff to supervise the increasing number of criminal offenders. In 1992, there were 556,500 correctional employees throughout the United States.⁸ The *Bureau of Justice Statistics, Expenditure and Employment Extracts 2007* reports almost a 40 percent increase since that time, as there were 777,798 correctional staff members working at the federal, state, and local levels in the United States in 2007.⁹ Many people unfamiliar with corrections believe that only a few types of jobs are held by correctional

TABLE 1.1 Correctional Populations from Selected Years, 1980–2012

	Probation	Jail	Prison	Parole	Total
1980	1,118,097	183,988	319,598	220,438	1,842,100
1985	1,968,712	256,615	487,593	300,203	3,013,100
1990	2,670,234	405,320	743,382	531,407	4,350,300
1995	3,077,861	507,044	1,078,542	679,421	5,342,900
2000	3,839,532	621,149	1,316,333	725,527	6,460,000
2005	4,162,495	747,529	1,448,344	784,354	7,051,300
2010	4,055,514	748,728	1,518,104	840,676	7,076,200
2011	3,971,300	735,600	1,505,000	853,900	6,978,500
2012	3,942,800	744,500	1,483,900	851,200	6,937,600

Source: Data from Bureau of Justice Statistics, U.S. Department of Justice, Corrections Facts at a Glance, Selected Years, available at <http://www.bjs.gov/index.cfm?ty=pbse&sid=5> (accessed August 8, 2014) and from Lauren E. Glaze and Erinn J. Herberman, "Correctional Populations in the United States, 2012, *BJS Bulletin* (Washington, DC: U.S. Department of Justice, 2013, p. 3).



Source: National Association of State Budget Officers, *State Expenditure Report, 1988–2011*, available at http://www.nasbo.org/sites/default/files/2010%20State%20Expenditure%20Report_0.pdf (accessed August 8, 2014).

FIGURE 1.3 Corrections Spending from State Funds, 1986–2012

staff. They understand what correctional officers and wardens do, and perhaps even a probation or parole officer. However, those are only a few of the types of jobs available to those seeking a career in corrections. Spertzel lists the following as examples of correctional jobs.¹⁰ It is obvious from this list that the variety of correctional jobs is extensive and offers opportunities for employment for students in many fields of study.

Budget administrator	Juvenile caseworker
Chaplain	Medical officer
Computer specialist	Ombudsman
Correctional officer	Personnel manager
Employee development specialist	Probation/parole officer
Facility manager	Psychologist
Financial manager	Recreation specialist
Food service manager	Safety manager
Health system administrator	Teacher
Industrial specialist	Training instructor
Institution administrator	

Corrections continues to be of high interest to citizens and elected officials. Much of this interest results from the misperception that crime is increasing and we as a society must figure out how to make citizens safer. In reality, crime has dropped dramatically over the past two decades. The violent crime rate per 100,000 citizens in 1993 was 747.1 and the property crime rate was 4,740.0, whereas in 2012 the violent crime rate was 386.9 and the property crime rate was 2,859.2. This represents a drop in the violent crime rate of about 48 percent and a drop in the property crime rate of nearly 40 percent from 1993 to 2012.¹¹ However, crime continues to lead on the news, and as a result, when citizens were asked in polls conducted over the past ten years whether there is more crime in the United States now than one year ago, they indicated a belief that crime is increasing (see Table 1.2).

With the public fear and general concern about crime, public officials will continue to legislate or regulate responses to the perceived crime problem. This results in expanding penalties for offenders, increasing the numbers of police, and authorizing more money to be spent by the criminal justice system. This increased activity results in increased visibility for criminal justice agencies. As crime and corrections remain on the minds of the public and their elected