

JUSTICE ADMINISTRATION

Police, Courts, and Corrections Management

KENNETH J. PEAK

EIGHTH EDITION

ADIVISTRATION POLICE, COURTS, AND CORRECTIONS MANAGEMENT

Kenneth J. Peak

University of Nevada, Reno

PEARSON

Boston Columbus Indianapolis New York San Francisco Hoboken Amsterdam Cape Town Dubai London Madrid Milan Munich Paris Montreal Toronto Delhi Mexico City São Paulo Sydney Hong Kong Seoul Singapore Taipei Tokyo Editorial Director: Andrew Gilfillan
Product Manager: Gary Bauer
Program Manager: Tara Horton
Editorial Assistant: Lynda Cramer
Director of Marketing: David Gessell
Senior Marketing Manager: Mary Salzman
Senior Marketing Coordinator: Alicia Wozniak
Senior Marketing Assistant: Les Roberts
Project Management Team Lead: JoEllen Gohr

Project Manager: Jessica H. Sykes Procurement Specialist: Deidra Skahill Senior Art Director: Diane Ernsberger Text and Cover Designer: Cenveo Media Project Manager: Leslie Brado

Full-Service Project Management: Munesh Kumar/Aptara®, Inc.

Composition: Aptara[®], Inc.

Printer/Binder: Edwards Brothers Malloy **Cover Printer:** Phoenix Color/Hagerstown

Text Font: Minion Pro

Copyright © 2016, 2012, 2010, 2007, 2004 by Pearson Education, Inc. and its affiliates, All rights reserved. Manufactured in the United States of America. This publication is protected by Copyright, and permission should be obtained from the publisher prior to any prohibited reproduction, storage in a retrieval system, or transmission in any form or by any means, electronic, mechanical, photocopying, recording, or likewise. To obtain permission(s) to use material from this work, please submit a written request to Pearson Education, Inc., Permissions Department, 221 River Street, Hoboken, New Jersey 07030.

Many of the designations by manufacturers and sellers to distinguish their products are claimed as trademarks. Where those designations appear in this book, and the publisher was aware of a trademark claim, the designations have been printed in initial caps or all caps.

Photos by Kenneth J. Peak.

Library of Congress Cataloging-in-Publication Data

Peak, Kenneth J.,

Justice administration : police, courts, and corrections management / Kenneth J. Peak, University of Nevada, Reno. — Eighth Edition.

pages cm

ISBN 978-0-13-359119-4—ISBN 0-13-359119-0

1. Criminal justice, Administration of—United States. 2. Law enforcement—United States. 3. Prison administration—United States.

I. Title.

HV9950.P43 2014 364.973—dc23

2014032025

10 9 8 7 6 5 4 3 2 1



ISBN 10: 0-13-359119-0 ISBN 13: 978-0-13-359119-4

Dedication

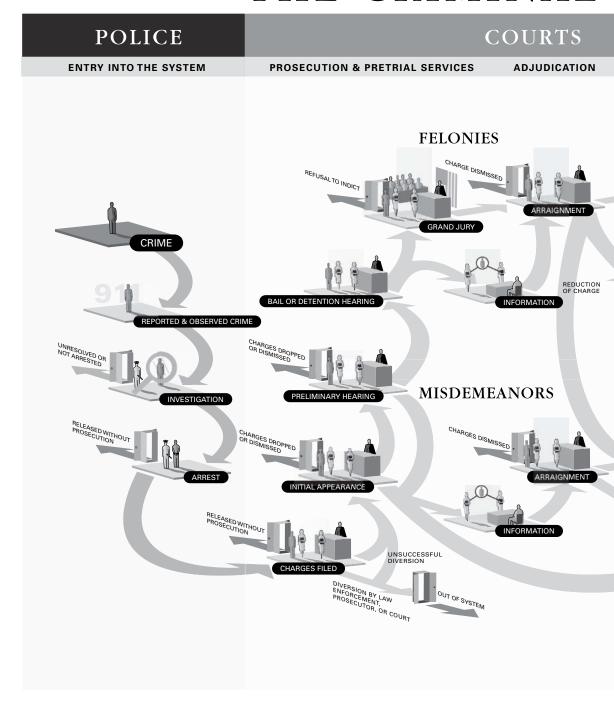
"[There] are . . . two points in the adventure of the diver: one—when a beggar, he prepares to plunge. Two—when a prince, he rises with his pearl."

—Robert Browning, Paracelsus, Part I: "Paracelsus Aspires" (1835)

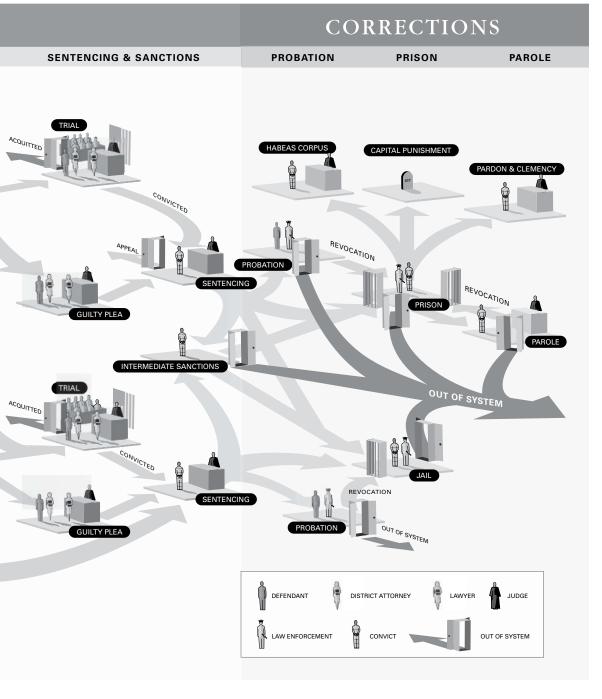
This eighth edition is dedicated to those who are willing to "plunge" into criminal justice administration—which is surely, today more than ever, one of the most challenging and difficult roles our society has to offer.

—K. P.

THE CRIMINAL



JUSTICE SYSTEM





Brief Contents

PART Justice Administr Chapter 1 Chapter 2 Chapter 3	ration: An Introduction 1 The Study and Scope of Justice Administration 2 Organization and Administration: Principles and Practices 2 Rights of Criminal Justice Employees 49	!0
PART 2 The Police 77 Chapter 4 Chapter 5 Chapter 6	Police Organization and Operation 78 Police Personnel Roles and Functions 105 Police Issues and Practices 132	
PART 3 The Courts 159 Chapter 7 Chapter 8 Chapter 9	Court Organization and Operation 160 Court Personnel Roles and Functions 181 Court Issues and Practices 202	
PART 4 Corrections 225 Chapter 10 Chapter 11 Chapter 12	Corrections Organization and Operation 226 Corrections Personnel Roles and Functions 258 Corrections Issues and Practices 280	
	the Justice System: Administrative Challenges 303 Ethical Considerations 304 Special Challenges: Labor Relations, Liability, and Discipline	327



Chapter 15
Chapter 16
Technologies and Tools: In an Era of Big Data and "The Cloud" 387

Appendix I
Case Studies (28 scenarios to challenge your knowledge and problem-solving abilities pertaining to individual chapters) 406

Appendix II
Writings of Confucius, Machiavelli, and Lao-Tzu 422

GLOSSARY 424

GLOSSARY 424 INDEX 431

Contents

PREFACE XXII	
ABOUT THE AUTH	OR XXV
PART 1	
Justice Admini	stration: An Introduction 1
Chapter 1	The Study and Scope of Justice Administration 2 Learning Objectives 2 Introduction 3 Why Study Justice Administration? 3 Purpose of the Book and Key Terms 3 Organization of the Book 4 A True System of Justice? 5 A Criminal Justice Process? 5 A Criminal Justice Network? 7 A Criminal Justice Nonsystem? 8 Or, Is It a True Criminal Justice System? 10 The Foundations of Justice and Administration: Legal and Historical Bases 10 The Consensus versus Conflict Debate 10 Crime Control through Due Process 12 Public versus Private Sector Administration 13 Planned Change and Policymaking in Justice Administration 14 Planning Interventions 14 Force-Field Analysis 16 Summary 16 • Key Terms and Concepts 17 • Questions for
	Review 17 • Deliberate and Decide 17 • Learn by Doing 18 • Notes 18
Chapter 2	Organization and Administration: Principles and Practices 20 Learning Objectives 20 Introduction 21 Defining Organizations 21 The Evolution of Organizational Theory 22 Scientific Management 22 Human Relations Management 23 Systems Management 24 Bureaucratic Management 24 Organizational Inputs/Outputs 25 Organizational Structure 25 Primary Principles 25 Span of Control and Unity of Command 27

```
Communication within the Organization 29
    Import and Consequence 29
    Process and Characteristics 30
    Communicating in Police Organizations: Consequence, Jargon, and the Grapevine 32
    Oral and Written Communication 33
    Other Barriers to Effective Communication 33
    Cultural Cues 34
Primary Leadership Theories 34
    What Is Leadership? 34
    Trait Theory 35
    Style Theory 36
Characteristics and Skills of America's Best Leaders 37
     "Good in Their Skin" 37
    Katz's Three Skills 37
Motivating Employees 38
    The Hawthorne Studies 39
    Maslow's Hierarchy of Needs 40
    McGregor's Theory X/Theory Y 41
    Herzberg's Motivation-Hygiene Theory 41
    Expectancy and Contingency Theories 42
Preparing for Employees of the Future: Generation Y 43
    Changing Demographics and Mindset 43
    Coming Challenges 43
    Becoming a Learning Organization 44
Summary 44 • Key Terms and Concepts 45 • Questions for
Review 45 • Deliberate and Decide 45 • Learn by Doing 46 • Notes 46
Rights of Criminal Justice Employees 49
Learning Objectives 49
Introduction 50
Overview 50
The Employment Relationship 51
    Recruitment and Hiring 51
    Disparate Treatment 52
    How Old Is "Too Old" in Criminal Justice? 53
    Criminal Justice and Affirmative Action 53
    Property Rights in Employment 54
    Pay and Benefits 56
    Criminal Justice and a Safe Workplace 57
Constitutional Rights of Criminal Justice Employees 58
    Freedom of Speech and Association 58
    Searches and Seizures 61
    Self-Incrimination 61
    Religious Practices 62
    Sexual Misconduct 63
    Residency Requirements 63
    Moonlighting 65
    Misuse of Firearms 65
    Alcohol and Drugs in the Workplace 66
Rights of Police Officers 67
```

Chapter 3

	Summary 71 • Key Terms and Concepts 71 • Questions for Review 71 • Deliberate and Decide 72 • Learn by Doing 72 • Notes 73
PART 2 The Police 77	
Chapter 4	Police Organization and Operation 78 Learning Objectives 78 Introduction 79 Police Agencies as Organizations 79 The Grouping of Activities 79 The Division of Labor 80 Elements of Police Organizational Structure 80 Examples of Police Organization 82
	The Basic Organizational Structure 82 Commentary on the Quasi-Military Style of Policing 85 Organizational Guidelines: Policies, Procedures, Rules, and Regulations 85 Community-Oriented Policing and Problem Solving (COPPS) 87 Rationale and Definition 87 The S.A.R.A. Process 87 Desired Organizational Elements Under COPPS 90
	Changes in Police Organization and Operation Post-9/11 91 A "Paradigm Shift" in Mission and Emphasis? 91 Changing Economies and Practices 92 Too Much Federalization and Militarization? 93 Emerging Paradigms in Policing 93 Smart Policing: Pairing Practitioners and Academics for Crime Fighting 94
	Intelligence-Led Policing: Knowing the "Who" of Crime 95 Predictive Policing: Knowing the "Where" of Crime 98 Moving from a Good to a Great Police Organization 98 Agency Accreditation 99 Summary 100 • Key Terms and Concepts 101 • Questions for Review 101 • Deliberate and Decide 101 • Learn by Doing 102 • Notes 102
Chapter 5	Police Personnel Roles and Functions 105 Learning Objectives 105 Introduction 106 Roles of the Police Executive: The Mintzberg Model for CEOs 106 The Interpersonal Role 106 The Informational Role 107 The Decision-Maker Role 108
	Contents xi

Workplace Harassment 68
Family and Medical Leave Act 69
Eligibility Requirements 69
Recent Amendments 70

The Americans with Disabilities Act (ADA) 70

Skills of Good Managers 109	
The "Ten Commandments" 110	
Machiavelli's Just Deserts and Advice 111	
Chiefs of Police 112	
Expectations of Government and the Community 112	
Qualifications 114	
An Objective Chief's Testing Protocol 115	
Job Protection, Termination, and the Political Arena 116	
The Sheriff 117	
Middle Managers: Captains and Lieutenants 118	
First-Line Supervisors: The Patrol Sergeant 121	
Seeking the Gold Badge 121	
Assuming the Position: General Roles and Functions 121	
Basic Tasks 123	
Types of Supervisors 123	
The Patrol Officer 124	
Basic Tasks 125 What Traits Make a Good Officer? 125	
Addressing a Front-End Problem: Recruiting Quality Officers 126	
From Field Training Officer to Police Training Officer 128	
Summary 129 • Key Terms and Concepts 129 • Questions for Review 129 • Deliberate and Decide 129 • Learn by Doing 130 • Notes 1	130
neview 120 - Deliberate and Decide 120 - Learn by Doing 100 - Notes 1	.00
Delice leaves and Dunelices 100	
Police Issues and Practices 132	
Learning Objectives 132	
Introduction 133	
Terrorism 133	
Definition and Types 133	
A Companion Threat: Bioterrorism 136	
Practical and Legislative Responses 136	
Cyberterrorism—and the Asian Threat 137	
How to Balance Security and Privacy—and the Unmanned Aerial Vehicles (Drones)	138
Managing the Use of Force: Issues and Practices 140	
Power to Be Used Judiciously 140	
A Typology of Abuse of Authority 140	
Does a Particular "Type" of Officer Use More Force? 141	
Use of Force on Persons with Mental Disorders 142	
New Approaches to "Active Shooters" 143	
Vehicular Pursuits 143	
Use-of-Force Continuums 145	
Reporting and Examining Use-of-Force Occurrences 147	
Social Media and the Police: The Good and the Bad 147	
Wanted: More Diversity in Policing and Less Sexual Harassment 148	
Key Issues with Hiring Women 148	
Sexual Harassment: Enigma Wrapped in Anachronism 149	
Contract and Consolidated Policing 150	
Succession Planning for Future Leaders 151	
2	

Law Enforcement Executives, Generally 108

Chapter 6

Obtaining the Best: The Assessment Center 109

	Doing 155 • Notes 155
PART 3	
The Courts 159	
Chapter 7	Court Organization and Operation 160
	Learning Objectives 160
	Introduction 161
	Inside the Courts: Decor, Decorum, Citizens 161
	Hallowed Places 161
	Justice in the Eye of the Beholder 162
	Seeking Truth in an Adversarial Atmosphere 162
	A Dual Court System 163
	Federal Courts: Organization and Administration 163
	The U.S. Supreme Court: Its Jurists, Traditions, and Work 163 U.S. Courts of Appeals 165
	U.S. District Courts 166
	Judicial Conference of the United States 167
	Administrative Office of the U.S. Courts 167
	State Courts of Last Resort and Appeals 168
	Courts of Last Resort 168
	Intermediate Courts of Appeals 170
	Trial Courts 170
	General Jurisdiction: Major Trial Courts 170 Limited Jurisdiction: Lower Courts 172
	"Unification," "Consolidation," "Reform": by any Name, a Century's Attempts
	to Streamline the Courts 173
	Courts in Early England: A Desire to Unify 174
	The United States: An Historical Hodgepodge 174
	As It Stands Today 175
	Two Examples at the Extremes 175
	The Influence of Courts in Policymaking 176
	Summary 177 • Key Terms and Concepts 177 • Questions for
	Review 177 • Deliberate and Decide 178 • Learn by Doing 178 • Notes 179
Chapter 8	Court Personnel Roles and Functions 181
	Learning Objectives 181
	Introduction 182
	Defining Judicial Administration 182
	The Jurists 183
	Those Who Would Be Judges: Methods of Selection 185 Judicial Benefits and Problems 186
	Courtroom Civility and Judicial Misconduct 189
	"Good Judging" 189
	Problems of Their Own: Types of Judicial Misconduct 190
	Contents xiii

Officer Uniforms and Appearance: Legal and Psychological Challenges 152

Summary 153 • Key Terms and Concepts 153 • Questions for

Review 154 • Deliberate and Decide 154 • Learn by

A Revised Model Code of Conduct for State and Local Judges 190 A Thorny Issue: Judges' Use of Electronic Social Media Sites 190
What Does "Appearance of Impropriety" Mean? An Example 192
Judges as Court Managers 193
Court Clerks 194
Trained Court Administrators 194
Development and Training 194
General Duties 196
Evaluating Court Administrators 196
Jury Administration 197
Summary 198 • Key Terms and Concepts 198 • Questions for Review 198 • Deliberate and Decide 198 • Learn by Doing 199 • Notes 19
Court Issues and Practices 202
Learning Objectives 202
Introduction 203
Is There a "CSI Effect"? 203
Courthouse Violence 204
Shooters in the Courthouses 204
General Types of Court Violence 205
Making a Threat Assessment 206
Problem-Solving Courts 207 Origin, Functions, and Rationale 207
A New Role for the Courtroom Work Group 208
Drug, Mental Health, and Veterans' Courts 208
The Dilemma of Delay 211
"Justice Delayed—" 211
The Consequences 211
Suggested Solutions and Performance Standards 211
Case Scheduling: Two Systems 212 Decreasing Litigation: Alternative Dispute Resolution 213
Supreme Court Decisions on Federal Sentencing Guidelines 214
Courts' Media Relations 215
Other Issues and Practices 215
Are "851 Notices" Being Overused and Abused? 215
Time to Rethink Juvenile Waivers? 216
Should the Exclusionary Rule Be Banned? 217
Should Cameras Be Banned? 218
Summary 219 • Key Terms and Concepts 219 • Questions for
Review 219 • Deliberate and Decide 220 • Learn by Doing 220 • Notes 22

PART 4

Chapter 9

Corrections 225

Chapter 10 Corrections Organization and Operation 226

Learning Objectives 226
Introduction 227

Correctional Organizations 228 Employment and Expenditures 228 Declining Prison Populations: Reasons and Some Caveats 228 General Mission and Features 229 Prisons as Organizations 229 The Central Office 230 Individual Prisons 231 Rise of the Supermax Prisons 235 Definition and Operation 235 Effects on Inmates 236 Constitutionality 236 A Boon to Public Safety? Policy Implications 237 Constitutional Rights of Inmates 237 From Hands Off to Hands On: A Shift in Prisoners' Rights, Law, and Philosophy 237 A "Slave of the State" 237 Prison Regulations and Laws Vis-à-vis Inmates' Constitutional Rights 238 Legal Remedy and Access to the Courts 238 First Amendment 239 Fourth Amendment 239 Eighth Amendment 239 Fourteenth Amendment 240 Civil Rights of Institutionalized Persons 241 Inmate Litigation 242 Prior to the Twenty-First Century: "Hair-trigger" Suing 242 The Prison Litigation Reform Act 243 Jails as Organizations 244 Podular/Direct Supervision Jails 244 A New Supreme Court Decree: Collecting DNA at Point of Arrest 247 Corrections Accreditation 247 Probation and Parole Agencies as Organizations Agency Organization, Armed and Sworn Status of Officers 248 Probation Systems 249 Parole Systems 252 Summary 253 • Key Terms and Concepts 253 • Questions for Review 253 • Deliberate and Decide 253 • Learn by Doing 254 • Notes 254 Corrections Personnel Roles and Functions 258 Learning Objectives 258 Introduction 259 Prisons 259 The Warden: A Profile 259 Preparing New Wardens for Success 262 Principles of Good Prison Leadership 263 Administering the Death Penalty 264 Achieving Racial Balance 265 Middle Managers and Supervisors 265 "Thy Brother's Keeper": Evolving Roles and Types of COs 266 Managing Staff Deviance 267 Staff-Inmate Relationships 268

Chapter 11

Jail Personnel 269

Jail Administrators' Functions 269

A Few Comments on "Jail First" Policies and Detention as a Career Path 269

Employee Training 270

Probation and Parole Officers 271

Duties and Orientation 272

Probation Management Styles 274

Addressing Stress, Burnout, and Attrition 274

Stressful Prisons 274

Stressors in Jails 275

Stress in Probation and Parole 276

Summary 276 • Key Terms and Concepts 276 • Questions for

Review 276 • Deliberate and Decide 277 • Learn by Doing 277 • Notes 278

Chapter 12 Corrections Issues and Practices 280

Learning Objectives 280

Introduction 281

Issues Concerning Inmate Populations 281

Iuvenile Iustice: An End to Death and Life without Parole Sentences 281

Sexual and Physical Violence: Facts of Institutional Life 282

The Prison Rape Elimination Act of 2003 283

Should Inmates Be Issued Condoms? 283

Hostage Taking in Detention Facilities: An Overview 284

Mentally Ill Offenders 286

Geriatric Inmates: Problems and Approaches 287

Inmate Classification: Cornerstone of Security and Treatment 288

Drug Use in Prisons: Interdiction and Treatment 289

Can a "Therapeutic Community" Work? 290

The Move Toward Privatization 291

Emergence of the Concept 291

Evaluations: Seven "Domains" 292

Alternatives to Incarceration: Intermediate Sanctions 293

Intensive Probation or Parole 294

House Arrest 294

Electronic Monitoring 295

Shock Probation/Parole 296

Boot Camps/Shock Incarceration 296

Day Reporting Centers 297

Summary 297 • Key Terms and Concepts 298 • Questions for

Review 298 • Deliberate and Decide 298 • Learn by Doing 299 • Notes 299

PART 5

Issues Spanning the Justice System: Administrative Challenges and Practices 303

Chapter 13 Ethical Considerations 304

Learning Objectives 304

Introduction 305

Ethics, Generally 306 Philosophical Foundations 306 Types of Ethics 307 Noble Cause Corruption 308
Challenges for Administrators, Managers, and Supervisors 308
Ethics in Policing 309
The Root of the Problem: Greed and Temptation 309
A Primer: The Oral Interview 309
Accepted and Deviant Lying 310
"Brady Material" 311
Gratuities: A Model for Gauging Degrees of Corruption 312
Training, Supervision, and Values 314
Ethics in the Courts 314
Evolution of Standards of Conduct 314
The Judge 315
Lawyers for the Defense 317 Prosecutors 317
Other Court Employees 318
Ethics in Corrections 318
Guiding Decision Making 320 Ethics Tests for Justice Professionals 320
Is Workplace Loyalty Always Good? 321
Summary 322 • Key Terms and Concepts 322 • Questions for
Review 323 • Deliberate and Decide 323 • Learn by Doing 323 • Notes 324
Special Challenges: Labor Relations, Liability, and Discipline 327
Special Challenges: Labor Relations, Liability, and Discipline 327
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336 Civil Liability: A Primer 337
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336 Civil Liability: A Primer 337 Definitions and Legal Foundation 337 Torts and Negligence 338 Section 1983 Legislation 338
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336 Civil Liability: A Primer 337 Definitions and Legal Foundation 337 Torts and Negligence 338 Section 1983 Legislation 338 Lawsuits against the Police Generally 339
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336 Civil Liability: A Primer 337 Definitions and Legal Foundation 337 Torts and Negligence 338 Section 1983 Legislation 338 Lawsuits against the Police Generally 339 Liability of Police Leadership 339
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336 Civil Liability: A Primer 337 Definitions and Legal Foundation 337 Torts and Negligence 338 Section 1983 Legislation 338 Lawsuits against the Police Generally 339 Liability of Police Leadership 339 Duty of Care and Failure to Protect 340
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336 Civil Liability: A Primer 337 Definitions and Legal Foundation 337 Torts and Negligence 338 Section 1983 Legislation 338 Lawsuits against the Police Generally 339 Liability of Police Leadership 339 Duty of Care and Failure to Protect 340 Vehicle Pursuits 342
Special Challenges: Labor Relations, Liability, and Discipline 327 Learning Objectives 327 Introduction 328 Collective Bargaining, Generally: Nature, Extent—and Recent Political Backlash 328 The Nature and Principles of Shared Governance 328 Organizing for Collective Bargaining 330 Negotiation 331 In the Event of an Impasse 332 Job Actions 333 Labor Relations in Criminal Justice 333 The Movement Begins: Policing Then and Now 334 Corrections Follows the Precedent 335 Unionization in the Courts 336 In Sum: "Navigating the Waters" of Unionization 336 Civil Liability: A Primer 337 Definitions and Legal Foundation 337 Torts and Negligence 338 Section 1983 Legislation 338 Lawsuits against the Police Generally 339 Liability of Police Leadership 339 Duty of Care and Failure to Protect 340

Food for Thought: Three Ethical Dilemmas 305

Chapter 14

Disciplinary Policies and Practices 343
Due Process Requirements 344
A Tradition of Problems in Policing 345
Automated Records Systems 345
Determining the Level and Nature of Action 346
Positive and Negative Discipline 347
Use of a Discipline Matrix 348
Dealing with Complaints 348
Making a Determination and Disposition 350
Not to Be Overlooked: Internal Complaints and Problems 354
Summary 354 • Key Terms and Concepts 354 • Questions for
Review 355 • Deliberate and Decide 355 • Learn by Doing 355 • Notes 356
Financial Administration 359
Learning Objectives 359
Introduction 360
Effects of the Great Recession, Generally 360
Impact on Police, Courts, and Corrections 361
Police: Budgets—and Job Security—Wane 361
Effects on the Courts: A "Tragedy" 362
Corrections: Cost-Prohibitive Beds 362
The System Reacts: Confronting the Great Recession 363
Police Responses: Some Services Lost, Some Technologies Gained 363
The Courts Respond: Turning to Grants 364
Corrections Answers: A Shift in Philosophy and Practice 365
The Budget 365
A Working Definition 365
Elements of a Budget 366
The Budget Cycle 366
Budget Formulation 367
Budget Approval 370
Budget Execution 371
The Audit 372
Budget Formats 373
The Line-Item Budget 373
The Performance Budget 376
The Program Budget 378
PPBS and ZBB Formats 380
Potential Pitfalls in Budgeting 382
The Need for Budgeting Flexibility 382
Common Cost and Waste Problems 382
Summary 383 • Key Terms and Concepts 383 • Questions for
Review 383 • Deliberate and Decide 384 • Learn by Doing 384 • Notes 384
Technologies and Tools: In an Era of Big Data and "The Cloud" 387
Learning Objectives 387
Introduction 388
Big Data: Definition and Application 388
2-3 2 and 2 diminosi and inprincation 444

Chapter 15

Chapter 16

Cloud Computing 389

How It Works 389 Rationales for Its Use 390 Some Concerns 390

New Databases: Criminal Justice Assets 391

Other Policing Technologies: Selected Examples 393

Drones: Old Tech, New Concerns with Use and Privacy 394

Robotics 395

Smartphones: The Good and the Bad 396

Courts Technologies 397

The Problems: Paper, Space, and Time 397
The Solution: Electronic Court Records 397

Corrections Technologies 399

More Sophisticated Video Cameras and Tracking Devices 399
Inmates Benefit from Mobile Devices 399
Use of Telemedicine 400
Another Use of Social Media 401

A Coming Conundrum: Plastic Guns 401

Summary 401 • Key Terms and Concepts 402 • Questions for Review 402 • Deliberate and Decide 402 • Learn by Doing 403 • Notes 403

Appendix I

Case Studies (28 scenarios to challenge your knowledge and problem-solving abilities pertaining to individual chapters) 406

Appendix II

Writings of Confucius, Machiavelli, and Lao-Tzu 422

GLOSSARY 424 INDEX 431

New Topics in This Eighth Edition

In addition to the general updated information provided throughout the book, as well as dozens of new examples of various aspects of criminal justice administration, following are other substantively new additions to this revised eighth edition:

- Chapter 1: Two "Deliberate and Decide" problems.
- Chapter 2: New materials on the "Generation Y" employees; the learning organization; a "*Deliberate and Decide*" problem
- Chapter 3: This chapter—formerly Chapter 13, concerning rights of criminal justice employees—is relocated to this point for better fit and to set forth many legal aspects and administrative concepts discussed in later chapters; two "Deliberate and Decide" employee problems
- Chapter 4: Pros and cons of having a single, national police organization; possible shifts in emphases in police organization and operation since 9/11: in mission and emphasis, changing economies and practices, and toward federalization and militarization (moved here from Chapter 6); smart policing (discussions of intelligence-led policing and predictive policing were also moved here, from Chapter 6); a "Deliberate and Decide" problem
- Chapter 5: Machiavellian advice for chief executives; police chief candidate interviewing and psychological testing; police hiring process as per Kansas City, Missouri; a career profile (county sheriff); a "Deliberate and Decide" problem
- Chapter 6: Listing of terrorist attacks in the United States; types of officers predisposed to using force; use of force with people having mental disorders; new approaches to "active shooters"; pros and cons of police use of social media; dealing with sexual harassment; updated material on contract/consolidated policing; a "Deliberate and Decide" problem
- Chapter 7: A century's attempts to streamline the courts; a discussion of the District of Columbia Circuit Court of Appeals; a "Deliberate and Decide" problem
- Chapter 8: New examples and guidelines on judges' use of electronic social media; what is meant by the appearance of impropriety; examples of judicial misconduct; establishing the office of, and educational requirements for state court administrators; a "Deliberate and Decide" problem
- Chapter 9: New material and exhibits on the CSI effect; new material and exhibits on problem-solving (drug, mental health, veterans) courts; courts' use of dogs for victims; controversy concerning, effects of federal prosecutors using 21 U.S.C. Sec. 851 to enhance punishments of drug offenders; material and exhibit on juvenile waivers; four steps in conducting a threat assessment; a "Deliberate and Decide" problem

- Chapter 10: How California's prison population affects that of the nation; the world's worst prisons; warrantless collection of DNA swabs from pre-trial arrestees; adult and juvenile probation and parole agencies' organization, arming of officers, and peace officer status; Hawaii's Project HOPE (for probation); "Deliberate and Decide" problem
- Chapter 11: Career profile, director of corrections; evolving role of correctional officers; addressing stress and burnout for COs; parole decision making for Charles Manson; federal executions and the Boston Marathon bomber case; "Deliberate and Decide" problem
- Chapter 12: Supreme Court ban on life without parole sentences for juveniles; programs and treatment for geriatric inmates; updated information on condoms for inmates and use of intermediate sanctions; a "therapeutic community" approach to drug offenders; new and updated information/examples concerning private prisons and day reporting centers; a "Deliberate and Decide" problem
- Chapter 13: Dealing with *Brady* materials and officers; expanded sections on ethics in policing and corrections; examples of judicial misconduct; a "*Deliberate and Decide*" problem
- Chapter 14: Use of a discipline matrix; examining internal complaints against officers; a "Deliberate and Decide" problem
- Chapter 15: Effects of the Great Recession in the United States, generally; effects of the recession on criminal justice agencies in specific; several responses by police, courts, and corrections agencies to the budget shortfalls; career profile by a budget analyst; a "Deliberate and Decide" problem
- Chapter 16: This technologies chapter has been completely revised to include recently implemented databases for criminal justice agencies; advances in existing technologies; security, privacy, and/or policy issues concerning cloud computing, unmanned aerial vehicles (drones), and "bring your own device"; use of telemedicine; a "Deliberate and Decide" problem

Appendix New case studies

Preface

Famed educator John Dewey advocated the "learn by doing" approach to education, or problem-based learning. Another contemporary, popular learning method, espoused by Benjamin Bloom and known as "Bloom's Taxonomy," called for "higher-order thinking skills"—critical and creative thinking that involves analysis, synthesis, and evaluation.

This eighth edition of *Justice Administration: Police, Courts, and Corrections Management* attempts, to the extent possible, to adhere to such philosophy and practice from start to finish, while continuing to examine all facets of the criminal justice system as well as several related matters of interest to prospective and current administrators. The author has held several administrative and academic positions in a criminal justice career spanning more than 35 years; thus, this book's 16 chapters contain a palpable real-world flavor not found in most textbooks.

Hopefully readers will put into use this eighth edition's new "Deliberate and Decide" and the "In Their Own Words: Administrative Advice from the Field" features that have been added to each chapter. Those additions, along with the continuation of the "Learn by Doing" and the 28 Appendix case-study exercises, should greatly enhance the text's applied nature as well as the reader's problem-solving capabilities and the practical application of information provided in the chapters. These combined chapter and appendix scenarios and activities place the reader in hypothetical—yet typically real-world—situations, moving the emphasis to student-centered projects. These activities also create opportunities to practice skills in communication and examining and addressing current community issues. Again, readers are encouraged to become engaged in some or all of these scenarios and activities.

In addition to the chapters concerning police, courts, and corrections administration, the book includes chapters on personnel and financial administration, rights of criminal justice employees, discipline and liability, ethics, and technologies. A practice continued in this edition is the listing of key terms and concepts and chapter learning objectives, which appear at the beginning of each chapter.

As indicated above, there are two appendices at the book's end. The first appendix includes a total of 28 case studies that apply to most of the book's chapters; they are listed by the number of the chapter to which they apply. Appendix II provides some writings of three noted early philosophers: Confucius, Machiavelli, and Lao-Tzu.

Criminal justice is a people business. This book reflects that fact as it looks at human foibles and some of the problems of personnel and policy in justice administration. Thanks to many innovators in the field, a number of exciting and positive changes are occurring. The general goal of the book is to inform the reader of the primary people, practices, and terms that are utilized in justice administration.

Finally, there may well be activities, policies, actions, and my own views with which the reader will disagree. This is not at all bad, because in the management of people and agencies, there are few absolutes, only ideas and endeavors to make the system better. From the beginning to the end of the book, the reader is provided with a comprehensive and penetrating view of what is certainly one of the most difficult and challenging positions that one can occupy in the United States: the administration of a criminal justice agency. I solicit your input concerning any facet of this textbook; feel free to contact me if you have ideas for improving it.

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-theart 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 e-mail, 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.

Pearson Online Course Solutions

Justice Administration is supported by online course solutions that include interactive learning modules, a variety of assessment tools, videos, simulations, and current event features. Go to www.pearsonhighered.com or contact your local representative for the latest information.

Alternate Versions

eBooks. This text is also available in multiple eBook formats, including Adobe Reader and CourseSmart. *CourseSmart* is 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 a *CourseSmart* 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, or to purchase access to the *CourseSmart* eTextbook, visit www.coursesmart.com.

Acknowledgments

This edition, like its seven predecessors, is the result of the professional assistance of several people. First, I continue to benefit by the guidance of the staff at Pearson Education. This effort involved: Gary Bauer, Product Manager; Jessica Sykes, Project Manager; and Megan Moffo, Program Manager. Copyediting was masterfully accomplished by

Seilesh Singh. I also wish to acknowledge the invaluable assistance of William Kelly, Auburn University; David Legere, New England College and River Valley Community College; Todd Lough, Western Illinois University; Suzanne Montiel, Nash Community College; Arkil Starke, Keiser University; and Susan Whitstone, Blackhawk Technical College, whose reviews of this edition resulted in many beneficial additions and modifications.

—Ken Peak peak_k@unr.edu

About the Author

Kenneth J. Peak is a full professor and former Chairman of the Department of Criminal Justice, University of Nevada, Reno, where he was named "Teacher of the Year" by the university's Honor Society. After serving for several years as a municipal police officer in Kansas, Ken subsequently held positions as a nine-county criminal justice planner for southeast Kansas, Director of a four-state Technical Assistance Institute for the Law Enforcement Assistance Administration, Director of University Police at Pittsburg State University (and, later, as Acting Director of Police Services, University of Nevada, Reno), and Assistant Professor of Criminal Justice at Wichita State University. He has authored or coauthored 28 textbooks and 2 historical books on bootlegging and temperance. His other recent books include Policing America: Methods, Issues, Challenges, 8th ed.; Community Policing and Problem Solving: Strategies and Practices, 6th ed. (with R. W. Glensor); Police Supervision and Management, 3rd ed. (with L. K. Gaines and R. W. Glensor); and Women in Law Enforcement Careers (with V. B. Lord). He also has published more than 60 monographs, journal articles, and invited chapters on a variety of policing topics. His teaching and research interests include general and community policing, planned change, administration, victimology, and comparative justice systems. Ken has served as chairman of the Police Section of the Academy of Criminal Justice Sciences (ACJS); president of the Western and Pacific Association of Criminal Justice Educators; and Deputy Chair, Academic Review Committee for ACJS. He holds a doctorate from the University of Kansas, and received two gubernatorial appointments to statewide committees while residing in Kansas.



PART

Justice Administration An Introduction

This part, consisting of three chapters, sets the stage for the later analysis of criminal justice agencies and their issues, problems, functions, and challenges in Parts 2 through 5. Chapter 1 examines the scope of justice administration and why we study it. Chapter 2 discusses organization and administration in general, looking at both how organizations are managed and how people are motivated. The rights of criminal justice employees are reviewed in Chapter 3. The introductory section of each chapter previews the specific chapter content.

The true administration of justice is the firmest pillar of good government.

—George Washington, 1789

Fiat justitia; ruat caelum

("Let justice be done, though heaven may fall.")

> —Anonymous Latin maxim, dating back to scriptures



Telesniuk/shutterstock

1 The Study and Scope of Justice Administration

LEARNING OBJECTIVES

After reading this chapter, the student will be able to:

- explain and distinguish between the concepts of administration, manager, and supervisor
- **2** understand and distinguish among criminal justice process, network, and nonsystem
- 3 understand system fragmentation and how it affects the amount and type of crime
- 4 understand consensus and conflict theorists and their theories
- **5** understand the two goals of the U.S. criminal justice system (CJS)
- distinguish between extrinsic and intrinsic rewards and how they relate to the CJS
- explain the differences between planned change and unplanned change in an organization

Introduction

The overarching theme of this book is that administration is far too important than to be left to on-the-job training or to one's personal idiosyncrasies and ideals. Concisely put, today's leaders must know their people, the current trends and issues of the day, how to deal with related challenges (e.g., financial administration), and the legal underpinnings of their work. Unfortunately, many readers of this book have had to suffer an administrator, manager, or supervisor who was not educated, trained, or well-prepared in these daunting tasks.

This first chapter explains in more detail this book's purposes and general approach, and why it is important and essential to study criminal justice administration. Included are discussions of the criminal justice system itself—whether or not there is a true "system" of justice, how and why the U.S. justice system was founded, and some differences between public and private administration. After a review of planned change and policymaking in justice administration, the chapter concludes with review questions, "deliberate and decide" problems, and "learn by doing" exercises.

Why Study Justice Administration?

Many of us may find it difficult when we are young to imagine ourselves assuming a leadership role in later life. As one person quipped, we may even have difficulty envisioning ourselves serving as captain of our neighborhood block watch program. The fact is, however, that the organizations increasingly seek people with a high level of education and experience as prospective administrators. The college experience, in addition to transmitting knowledge, is believed to make people more tolerant and secure and less susceptible to debilitating stress and anxiety than those who do not have this experience. We also assume that administration is a science that can be taught; it is not a talent that one must be born with. Unfortunately, however, administrative skills are often learned through on-the-job training; many of us who have worked for a boss with inadequate administrative skills can attest to the inadequacy of this training.

Purpose of the Book and Key Terms

As indicated in the Preface, this textbook attempts to follow, to the extent possible, an applied, practical approach as espoused by famed educator John Dewey, who advocated the "learn by doing" approach to education, or problem-based learning. Another contemporary, popular learning method is also followed, which was espoused by Benjamin Bloom and known as "Bloom's Taxonomy," which called for "higher-order thinking skills"critical and creative thinking that involves analysis, synthesis, and evaluation.

This book alone, as is true for any other single work on the subject of administration, cannot instantly transform the reader into a bona fide expert in organizational behavior and administrative techniques. It alone cannot prepare someone to accept the reins of administration, supervision, or leadership; formal education, training, and experience are also necessary for such undertakings.

Many good basic books about administration exist; they discuss general aspects of leadership, the use of power and authority, and a number of specialized subjects that are beyond the reach of this book. Instead, here I simply consider some of the major theories, aspects, and issues of administration, laying the foundation for the reader's future study and experience.

Many textbooks have been written about *police* administration; a few have addressed administering courts and corrections agencies. Even fewer have analyzed justice administration from a systems perspective, considering all of the components of the justice system administrator the person whose focus is on the overall organization, its mission, acquisition and use of resources, and agency relationship with external organizations and

aroups.

manager a person in the intermediate level of management, responsible for carrying out the policies and directives of upperlevel administrators and supervising subordinate managers and employees.

supervisor typically the lowest position of leadership in an organization, one who plans, organizes, and directs staff members in their daily activities. and their administration, issues, and practices. This book takes that perspective. Furthermore, most books on administration are immersed in pure administrative theory and concepts; in this way, the *practical* criminal justice perspective is often lost on many college and university students. Conversely, many books dwell on minute concepts, thereby obscuring the administrative principles involved. This book, which necessarily delves into some theory and specialized subject matter, focuses on the practical aspects of justice administration.

Justice Administration is not written as a guidebook for a major sweeping reform of the U.S. justice system. Rather, its primary intent is to familiarize the reader with the methods and challenges of criminal justice administrators. It also challenges the reader, however, to consider what reform is desirable or even necessary and to be open-minded and visualize where changes might be implemented.

Although the terms *administration*, *manager*, and *supervisor* are often used synonymously, each is a unique concept that is related to the others. Administration encompasses both management and supervision; it is the process by which a group of people is organized and directed toward achieving the group's objective. The exact nature of the organization will vary among the different types and sizes of agencies, but the general principles and the form of administration are similar. Administrators focus on the overall organization, its mission, and its relationship with other organizations and groups external to it. In a hierarchical organization, they typically hold such ranks as police chief/sheriff, and assistant chief or undersheriff, warden and associate warden, and so on, and include those persons who are in a policymaking position.

Managers, often termed middle management or mid-level managers, are typically the intermediate level of leadership in a hierarchical organization, reporting to the higher eschelon of administrators and responsible for carrying out their policies and the agency's mission, while also supervising subordinate managers and employees to ensure a smooth functioning organization; they are typically the ranks of captains and lieutenants. Supervisors (also sometimes termed *first-line supervisors*) occupy the lowest position of leadership in an organizational hierarchy, and typically plan, organize, and direct staff members in their daily activities. They are typically sergeants in a hierarchical organization.

In policing (or in prisons, or wherever there is a paramilitary rank structure), for example, although we tend to think of the chief executive as the administrator, the bureau chiefs or commanders as managers, and the sergeants as supervisors, it is important to note that on occasion all three of these roles are required of one administrator; such may be the case when a critical situation occurs, such as a hostage or barricaded-subject incident, and a single person is responsible for all of these levels of decision making.

The terms *police* and *law enforcement* are generally used interchangeably. Many people in the police field believe, however, that the police do more than merely enforce laws; they prefer to use the term *police*.

Organization of the Book

To understand the challenges that administrators of justice organizations face, we first need to place justice administration within the big picture; thus, in Part 1, Justice Administration: An Introduction, I discuss the organization, administration, and general nature of the U.S. justice system; the state of our country with respect to crime and government control; the evolution of justice organization and administration in all of its three components: police, courts, and corrections; and the rights of criminal justice employees,

Parts 2, 3, and 4, which discuss contemporary police, courts, and corrections administration, respectively, follow the same organizational theme: The first chapter of each part deals with the *organization and operation* of the component, followed in the next chapter by an examination of the component's *personnel roles and functions*, and in the third chapter by a discussion of *issues and practices* (including future considerations).

Part 5 examines administrative problems and factors that influence the entire justice system, including ethical considerations, financial administration, and technology for today and the future.

This initial chapter sets the stage for later discussions of the criminal justice system (CJS) and its administration. I first consider whether the justice system comprises a process, a network, a nonsystem, or a true system. A discussion of the legal and historical bases for justice and administration follows (an examination of what some great thinkers have said about governance in general is provided at the end of the book, in Appendix II). The differences between public and private sector administration are reviewed next, and the chapter concludes with a discussion of policymaking in justice administration. After completing this chapter, the reader will have a better grasp of the structure, purpose, and foundation of our CJS.

A True System of Justice?

What do justice administrators—police, courts, and corrections officials—actually *administer*? Do they provide leadership over a system that has succeeded in accomplishing its mission? Do individuals within the system work amiably and communicate well with one another? Do they all share the same goals? Do their efforts result in crime reduction? In short, do they compose a *system*? I now turn to these questions, taking a fundamental yet expansive view of justice administration.

The U.S. CJS attempts to decrease criminal behavior through a wide variety of uncoordinated and sometimes uncomplementary efforts. Each system component—police, courts, and corrections—has varying degrees of responsibility and discretion for dealing with crime. Often a federal, state, or local system component fails, however, to engage in any coordinated planning effort; hence, relations among and between these components are often characterized by friction, conflict, and deficient communication. Role conflicts also serve to ensure that planning and communication are stifled.

For example, one role of the police is to arrest suspected offenders. Police typically are not judged by the public on the quality (e.g., having probable cause) of arrests but on their number. Prosecutors often complain that police provide case reports of poor quality. Prosecutors, for their part, are partially judged by their success in obtaining convictions; a public defender or defense attorney is judged by success in getting suspected offenders' charges dropped. The courts are very independent in their operation, largely sentencing offenders as they see fit. Corrections agencies are torn between the philosophies of punishment and rehabilitation and, in the view of many, wind up performing neither function with a large degree of success. These agencies are further burdened with overcrowded conditions, high caseloads, and antiquated facilities. Unfortunately, this situation has existed for several decades and continues today.

This criticism of the justice system or process—that it is fragmented and rife with role conflicts and other problems—is a common refrain. Following are several views of the CJS as it currently operates: the process, network, and nonsystem points of view. Following the discussion of those three points of view, I consider whether criminal justice truly represents a system.

A Criminal Justice Process?

What is readily seen in the foregoing discussion is that our CJS may not be a system at all. Given its current operation and fragmentation, it might be better described as a **criminal** justice process. As a process, it involves the decisions and actions taken by an institution, offender, victim, or society that influence the offender's movement into, through, or out of the justice system.² In its purest form, the criminal justice process occurs as shown in

criminal justice

process the decisions and actions by an institution, offender, victim, or society that influence the offender's movement into, through, or out of the justice system.

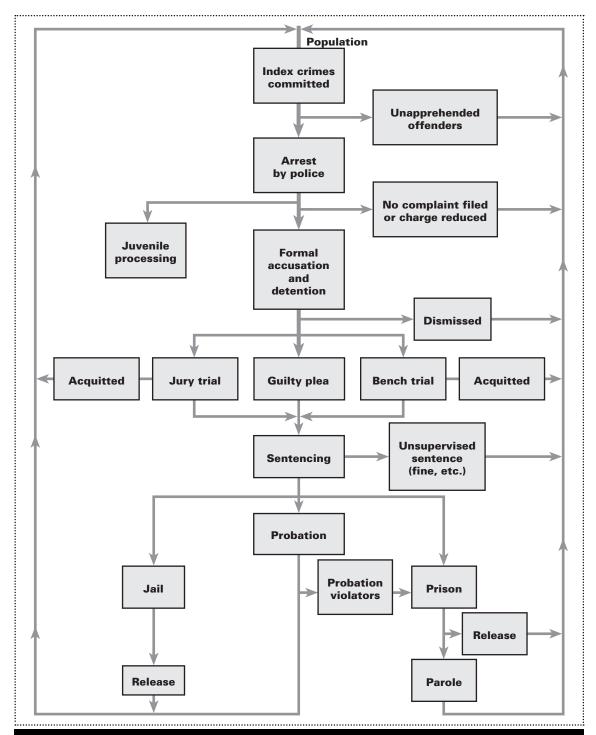


FIGURE 1-1 Criminal Justice Model

Source: Adapted from the President's Commission on Law Enforcement and Administration of Justice, *The Challenge of Crime in a Free Society* (Washington, DC: U.S. Government Printing Office, 1967), pp. 262-263.

Figure 1-1 **.** Note that the horizontal effects result from factors, such as the amount of crime, the number of prosecutions, and the type of court disposition affecting the population in correctional facilities and rehabilitative programs. Vertical effects represent the primary system steps or procedures.³

At one end of this process are the police who understandably may view their primary role as getting lawbreakers off the street. At the other end of the process are the corrections officials who may see their role as being primarily custodial in nature. Somewhere in between are the courts that try to ensure a fair application of the law to each case coming to the bar.

As a process, the justice system cannot reduce crime by itself nor can any of the component parts afford to be insensitive to the needs and problems of the other parts. In criminal justice planning jargon, "You can't rock one end of the boat." In other words, every action has a reaction, especially in the justice process. If, say, a bond issue for funds to provide 10 percent more police officers on the streets is passed in a community, the additional arrests made by those added police personnel will have a decided impact on the courts and correction components. Obviously, although each component operates largely on its own, the actions and reactions of each with respect to crime will send ripples throughout the process.

Much of the failure to deal effectively with crime may be attributed to organizational and administrative fragmentation of the justice process. Fragmentation exists among the components of the process, within the individual components, among political jurisdictions, and among persons.

A Criminal Justice Network?

Other observers contend that U.S. justice systems constitute a **criminal justice network**. According to Steven Cox and John Wade, the justice system functions much like a television or radio network whose stations share many programs but in which each station also presents programs that the network does not air on other stations. The network appears as a three-dimensional model in which the public, legislators, police, prosecutors, judges, and correctional officials interact with one another and with others who are outside the traditionally conceived CJS. 5

Furthermore, the criminal justice network is said to be based on several key yet erroneous assumptions, including the following:

- 1. The components of the network cooperate and share similar goals.
- 2. The network operates according to a set of formal procedural rules to ensure uniform treatment of all persons, the outcome of which constitutes justice.
- **3.** Each person accused of a crime receives due process and is presumed innocent until proven guilty.
- **4.** Each person receives a speedy public trial before an impartial jury of his or her peers and is represented by competent legal counsel.⁶

Cox and Wade asserted that these key assumptions are erroneous for the following reasons:

- 1. The three components have incompatible goals and are continually competing with one another for budgetary dollars.
- 2. Evidence indicates that blacks and whites, males and females, and middle- and lower-class citizens receive differential treatment in the criminal justice network.
- 3. Some persons are prosecuted, some are not; some are involved in plea bargaining, others are not; some are convicted and sent to prison, whereas others convicted of the same type of offense are not. A great deal of the plea negotiation process remains largely invisible, such as "unofficial probation" with juveniles. In addition, Cox and Wade argued, considerable evidence points to the fact that criminal justice employees do not presume their clients or arrestees to be innocent.

criminal justice
network a view that
the justice system's
components cooperate and share similar
goals but operate independently and competing for funding.

4. Finally, these proponents of a network view of the justice process argued that the current backlog of cases does not ensure a speedy trial, even though a vast majority (at least 90%) of all arrestees plead guilty prior to trial.

Adherents of this position, therefore, believe that our CJS is probably not a just network in the eyes of the poor, minority groups, or individual victims. Citizens, they also assert, may not know what to expect from such a network. Some believe that the system does not work as a network at all and that this conception is not worth their support.⁸

A Criminal Justice Nonsystem?

Many observers argue that the three components of the CJS actually comprise a criminal justice nonsystem. They maintain that the three segments of the U.S. CJS that deal with criminal behavior do not always function in harmony and that the system is neither efficient enough to create a credible fear of punishment nor fair enough to command respect for its values.

Indeed, these theorists are given considerable support by the President's Commission on Law Enforcement and the Administration of Justice (commonly known as the Crime Commission), which made the following comment:

The system of criminal justice used in America to deal with those crimes it cannot prevent and those criminals it cannot deter is not a monolithic, or even a consistent, system. It was not designed or built in one piece at one time. Its philosophic core is that a person may be punished by the Government, if, and only if, it has been proven by an impartial and deliberate process that he has violated a specific law. Around that core, layer upon layer of institutions and procedures, some carefully constructed and some improvised, some inspired by principle and some by expediency, have accumulated. Parts of the system—magistrates, courts, trial by jury, bail—are of great antiquity. Other parts—juvenile courts, probation and parole, professional policemen—are relatively new. Every village, town, county, city, and State has its own criminal justice system, and there is a Federal one as well. All of them operate somewhat alike, no two of them operate precisely alike.9

Alfred Cohn and Roy Udolf stated that criminal justice "is not a system, and it has little to do with justice as that term is ordinarily understood." Also, in this school of thought are Burton Wright and Vernon Fox, who asserted that "the criminal justice system—is frequently criticized because it is not a coordinated structure—not really a system. In many ways this is true."11

These writers would probably agree that little has changed since 1971, when Newsweek stated in a special report entitled "Justice on Trial" that:

America's system of criminal justice is too swamped to deliver more than the roughest justice—and too ragged really to be called a system. "What we have," says one former government hand, "is a non-system in which the police don't catch criminals, the courts don't try them, and the prisons don't reform them. The system, in a word, is in trouble. The trouble has been neglect. The paralysis of the civil courts, where it takes five years to get a judgment in a damage suit—the courts—badly managed, woefully undermanned and so inundated with cases that they have to run fast just to stand still."12

Unfortunately, in many jurisdictions, those words still ring true. Too often, today's justice administrators cannot be innovators or reformers but rather simply "make do." As one law professor stated, "Oliver Wendell Holmes could not survive in our criminal court. How can you be an eminent jurist when you have to deal with this mess?" 13

criminal justice nonsystem the view that police, courts, and corrections agencies do not function harmoniously, are not a coordinated structure, and are neither efficient nor fair enough to create fear of punishment nor respect for its values.

Those who hold that the justice system is in reality no system at all can also point to the fact that many practitioners in the field (police, judges, prosecutors, correctional workers, and private attorneys) and academicians concede that the entire justice system is in crisis, even rapidly approaching a major breakdown. They can cite problems everywhere—large numbers of police calls for service, overcrowded court dockets, and increasing prison populations. In short, they contend that the system is in a state of dysfunction, largely as a result of its fragmentation and lack of cohesion.¹⁴

System fragmentation is largely believed to directly affect the amount and type of crime that exists. Contributing to this fragmentation are the wide discretionary powers possessed by actors in the justice system. For example, police officers (primarily those having the least experience, education, and training) have great discretion over whom they arrest and are effectively able to dictate policy as they go about performing their duties. Here again, the Crime Commission was moved to comment as follows, realizing that how the police officer moves around his or her territory depends largely on this discretion:

Crime does not look the same on the street as it does in a legislative chamber. How much noise or profanity makes conduct "disorderly" within the meaning of the law? When must a quarrel be treated as a criminal assault: at the first threat, or at the first shove, or at the first blow, or after blood is drawn, or when a serious injury is inflicted? How suspicious must conduct be before there is "probable cause," the constitutional basis for an arrest? Every [officer], however sketchy or incomplete his education, is an interpreter of the law.¹⁵

Judicial officers also possess great discretionary latitude. State statutes require judges to provide deterrence, retribution, rehabilitation, and incapacitation—all in the same sentence. Well-publicized studies of the sentencing tendencies of judges—in which participants were given identical facts in cases and were to impose sentences based on the offender's violation of the law—have demonstrated considerable discretion and unevenness in the judges' sentences. The nonsystem advocates believe this to be further evidence that a basic inequality exists—an inequality in justice that is communicated to the offender. 16

Finally, fragmentation also occurs in corrections—the part of the criminal justice process that the U.S. public sees the least of and knows the least about. Indeed, as the Crime Commission noted, the federal government, all 50 states, the District of Columbia, and most of the country's 3,047 counties now engage in correctional activities of some form. Each level of government acts independently of the others, and the responsibility for the administration of corrections is divided within the given jurisdictions as well.¹⁷

With this fragmentation comes polarity in identifying and establishing the primary goals of the system. The police, enforcing the laws, emphasize community protection; the courts weigh both sides of the issue—individual rights and community needs; and corrections facilities work with the individual. Each of these groups has its own perception of the offender, creating goal conflict; that is, the goal of the police and the prosecutor is to get the transgressor off the street, which is antithetical to the caretaker role of the corrections worker who often wants to rehabilitate and return the offender to the community. The criminal justice process does not allow many alternative means of dealing with offenders. The nonsystem adherent believes that eventually the offender will become a mere statistic, more important on paper than as a human being. 18

Because the justice process lacks sufficient program and procedural flexibility, these adherents argue, its workers either can circumvent policies, rules, and regulations or adhere to organizational practices they know are, at times, dysfunctional. (As evidence of the former, they point to instances of *informal* treatment of criminal cases; e.g., a police officer "bends" someone's constitutional rights in order to return stolen property to its rightful owner, or a juvenile probation officer, without a solid case but with strong suspicion, warns a youth that any further infractions will result in formal court-involved proceedings.)

system fragmenta-

tion the view that members of police, courts, and corrections agencies have tremendous discretion and their own perception of the offender, resulting in goal conflict.