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# New Approaches to Staff Safety

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# **National Institute of Corrections**

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# **NEW APPROACHES TO STAFF SAFETY**

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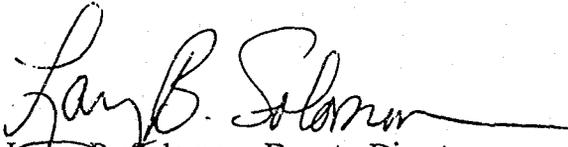
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## FOREWORD

Service in probation, parole, and pretrial agencies is becoming more hazardous because of increasing numbers of violent, high-risk offenders under community supervision and the need for closer supervision and enhanced personal contacts. These contacts often take place after daylight at the offender's home or workplace, which may be in a high-crime area.

The National Institute of Corrections strongly supports efforts that provide for the safety and security of corrections staff. This monograph was developed primarily in answer to the high number of requests for technical assistance related to staff and officer safety in probation and parole. It builds on an April 1990 publication, *Worker Safety in Probation and Parole*. We hope it will assist community corrections administrators and line staff in understanding the hazards of their work and that it will inspire adoption of appropriate training and policies related to safety.



Larry B. Solomon, Deputy Director  
National Institute of Corrections

## PREFACE

The purpose of this project was to produce a working document with which community corrections practitioners can evaluate training needs relating to officer safety. The monograph describes staff safety training subjects and provides resources that the authors have identified as effective in specific training areas.

We initially wrote representative corrections organizations throughout the United States, asking them for any information they had on innovative personal safety programs. We received only two responses to these inquiries.

Due to the low response rate, we turned to direct contact with agencies known to have innovative training programs in staff safety. Also, based on the initial research done by William Parsonage in his monograph *Worker Safety in Probation and Parole*, we identified areas of greatest worker concern and explored those areas in depth. Once we identified potential resources, we telephoned or visited sites to evaluate the program content and determine the effectiveness of the program.

While several innovative training programs are offered in the area of staff safety, the project found that there is little knowledge of the programs within the community corrections field. Using this monograph, agencies can better determine their respective training needs, evaluate the most current information in the various safety training areas, and explore a variety of information and training resources from which they can obtain training or assistance in developing their own training program.

Robert L. Thornton  
John H. Shireman

## ACKNOWLEDGEMENTS

Our research into staff safety training programs, models, and issues could not have taken place without the assistance of a number of community corrections professionals across the country.

Our friend and co-trainer Edward J. Beaulac, Sr., U.S. Probation Officer in Redding, California, brought this project to our attention and provided information for the monograph. Ed is on the staff safety committee for the Eastern District of California and has provided staff safety training for the Federal Judicial Center and the National Institute of Corrections.

William H. Parsonage produced the NIC-sponsored monograph *Worker Safety in Probation and Parole* in April 1990, which inspired us to do this research. Bill's work introduced the concept of "victimization" into the parole and probation field and was a catalyst for the development of our current effort.

It would take reams of words and accolades to express our sincere appreciation to J. Richard Faulkner, Jr., for his support and assistance in this project. Rick, who has conducted numerous courses on staff safety across the country and has written on many staff safety issues, was a major resource for the production of this monograph. He facilitated important contacts, obtained resource documents, and helped steer us in the right direction when we approached dead ends.

Lastly, our sincere appreciation goes to the multitude of officers across the country who shared their ideas, programs, and true feelings about staff safety issues with us. Special thanks to those officers, staff, and families who, in dealing with an offender, have looked down the barrel of a gun, suffered assault, and experienced the resulting trauma. Their openness and honesty about their experiences, and the aftermath, provided invaluable insight into real issues that should be stressed in safety training.

## PROLOGUE: A WIDOW TALKS ABOUT SAFETY

On September 22, 1986, U. S. Probation Officer Tom Gahl was shot to death by a probationer while attempting a home contact. His death, like many assaults and killings that have been perpetrated upon field corrections personnel, came without warning. Tom's wife, Nancy, shares her thoughts about the importance of safety training with us.

*"My husband was the first United States Probation Officer to be killed in the line of duty by a client. He was only 38 years old, had two boys, 4 and 8, whom he dearly loved, was the president of our church congregation, a Little League coach, and an active civic volunteer. He had every reason to live, yet on the morning of September 22, 1986, he was shot twice in the head with a sawed-off shotgun--and our lives were changed forever.*

*"Tom was a very conscientious, thorough probation officer who loved his family too much to take chances. On occasion, he had taken a Marshal with him if he felt he would be in a threatening situation. But on the morning of the 22nd he was going to do a routine urinalysis and was shot before any reasoning or weapon could have saved him.*

*"No one knows better than today's probation officer how much violence pervades our society, and we realize that no one is immune from it. With routine home contacts and regular time spent in the field, the officer may be faced often with potentially life-threatening situations. I believe that the value and importance of staff safety training can't be overstated. Learning to deal with mentally ill patients, drug users, and all other violent crime offenders may enable the officer to anticipate perilous situations and respond with appropriate action. Although I don't think that this could have prevented Tom's death, if it saves the life of just one other probation officer, it is well worth all the time and effort.*

*"Knowing the fears that have at times consumed and paralyzed our family because of our tragedy, and realizing that you as probation officers may be living with these same fears daily, I would hope that crisis counseling would be available for officers who have experienced a threat or a loss, or who are trying to cope with the everyday stress of the job.*

*"It has been six years since my husband was killed. At the time of his death, probation officers from across the country, including Puerto Rico and the Virgin Islands, responded to us with an overwhelming outpouring of compassion and concern. I am glad to have this opportunity to thank you once again, for all of your love, your prayers, and your generous contributions to the boys' fund. That was not a one-time happening for us, for it has never been forgotten, and your genuine concern has comforted us and sustained us through the years. Occasionally we re-read your letters and we see your names, and we continue to feel a part of the larger family of probation officers. You have given us good memories, and we thank you for that.*

*"It is our fervent hope that none of you will have to suffer the tragedy that we did, and we pray that God continues to keep all of you in His safe-keeping.*

*"Many blessings to you,"*

**Nancy, Christopher, and Nicholas Gahl**

# EXECUTIVE SUMMARY

This monograph is designed to provide a working document with which community corrections agencies and trainers can evaluate current training needs relating to officer safety. While "officers" are the focus of the information, many training areas addressed apply to all staff working in a community corrections setting.

In the initial research on staff safety done by William Parsonage and addressed in his 1990 monograph *Worker Safety in Probation and Parole*, the author dealt with information obtained solely from the parole and probation field. In this document, the authors have built on that work to include information that is relevant to a broader spectrum of community corrections personnel, i.e., pretrial services officers, electronic monitoring coordinators, halfway house workers, etc.

While Parsonage's study established the need for safety training and introduced the concept of officer "victimization," this monograph goes on to identify specific safety training needs areas, legal issues in safety training, research on the most effective training techniques, and resources in the respective safety training areas. The ultimate goal is to provide information to enable an agency to become an "educated consumer" and better evaluate the quality of training programs offered or develop its own training package that meets its specific safety training needs.

The authors determined the following areas to be the topics of greatest need and the issues that should be addressed in developing a total staff safety program. Certain areas may not be relevant to all offices; e.g., if officers are not allowed to carry firearms, issues concerning firearms training may not be pertinent.

- Use of force continuum;
- Crisis prevention;
- Physical fitness;
- Soft body armor;
- Office safety;
- Arrest, search, and seizure;
- Firearms training policy;
- Planning an arrest;
- Using canines in searches;
- Transporting offenders;
- Communications equipment;
- Critical incident program;
- Self-defense training;
- Oleoresin capsicum;
- Identification apparel;
- Office standards;
- Legal issues;
- Use of search teams;
- Handcuffing;
- Contraband management;
- Urban vs. rural issues;
- Electronic monitoring.

Each topic area includes a discussion of the problem, issues to consider in evaluating or establishing a training program, training resources, and a summary of the salient training issues. This format is designed to facilitate easy location of topics within the monograph and quick review of important training issues.

We began the research phase of the project by calling for current and innovative programs via a written request to 55 community corrections agencies. The authors obtained the agencies' names from the mailing list of the American Correctional Association. Only two agencies responded. Simultaneously the authors conducted a literature review of safety training programs currently used by community corrections agencies. They contacted the National Institute of Corrections and National Institute of Justice resource centers to determine the resources most often used and the responses that the respective resource centers received regarding the quality of the program.

Based upon information from the above sources and from personal knowledge of trainers in the staff safety field, the authors began making personal contacts. As they conducted interviews, they uncovered new programs and found that some corrections agencies had begun to try to locate resources to meet their training needs. Also, based upon the initial research done by William Parsonage, they identified areas of greatest worker concern and explored those areas in depth.

Once the authors had identified training programs, they initiated telephone contacts with both the training provider and the training consumer to ascertain the curriculum provided and the perceived quality of the program. Onsite visits revealed:

1. The quality of the training provided;
2. The effectiveness of the curriculum in relation to the needs established by the agency;
3. The amount of retained skill, as determined through interviews with participating staff;
4. How the training could be improved or what additional training was needed, in the opinion of both staff and administration.

The authors made a conscious effort to visit both urban and rural community corrections agencies, since their needs in some situations are different.

Many safety areas lack training specifically designed for community corrections. In those cases law enforcement agencies have been addressing the training issue for some time and have effective training programs already in place. The authors initially thought these programs could be taken and delivered "as is" to community corrections officers. There is a tendency, however, for community corrections personnel to dismiss the training as not relevant if provided in a strict law enforcement mode. If the content is modified to situations or scenarios specific to corrections, the program is well received and viewed as quite relevant. This is especially true concerning the areas of arrest, search, seizure, communication, and critical incident counseling.

The sharing of information is the greatest hurdle in trying to find, evaluate, and provide quality safety training. Compared to law enforcement, there is far less information available on current training issues and quality training programs, which has led to agencies wasting many hours trying to "reinvent the wheel" in safety training.

Possibly more important is the misperception that there are actually few incidents of death or assault among community corrections officers. In his research, Parsonage found that, unlike law enforcement, a central repository for information on community correction officers' deaths and assaults did not exist. Consequently, safety training has only recently become a topic of concern. Unlike law enforcement, the community corrections field has not suffered the lawsuits based upon failure to train. When that occurs, there will be an even greater push for safety training.

This monograph is the first effort to identify and bring together in one document the current training issues regarding:

- Legal issues in safety training;
- The importance of "dynamic" training vs. "static" training;
- A total approach to staff safety--office, field, and personal;
- How to evaluate training programs;
- How to develop a training program to meet specific agency needs;
- Comparison of leading programs in the respective training topics;
- Developing training with little or no funds.

It will assist agencies in selecting a prepackaged program or developing their own. Every agency does not need to reinvent a training program for each topic or skill area. With the most current information on safety equipment, agencies can make more informed decisions. They can avoid expenditures for equipment that is outdated or does not fit their specific needs, resulting in more efficient use of personnel and funds.

# INTRODUCTION

This monograph is designed to provide community corrections agencies and trainers with current information on staff safety training issues. The purpose is not to provide already packaged training programs, but to identify key issues to be addressed in various training subjects. Each agency has its own policies and procedures around which dynamic, interactive training can be developed.

In 1990 William Parsonage, under a grant from the National Institute of Corrections (NIC), produced a monograph entitled *Worker Safety in Probation and Parole*. The monograph discusses the issue of "victimization" of parole and probation officers and provides valuable information on how, when, and by whom officers are victimized. It also provides information on how the community corrections field perceives training that has been offered to date and the areas of training the field believes should be addressed. Parsonage's monograph should be reviewed in conjunction with this monograph.

Parsonage's work dealt specifically with parole and probation officers. This project expands into safety issues that are applicable not only to parole and probation officers, but also to those involved in pretrial services, electronic monitoring, and community corrections. For that reason, the term "community corrections officer" has been adopted to cover the various job functions.

The issue of staff safety is receiving growing attention. This project attempts to provide the most current information available. The resources provided are the result of personal contact with scores of leaders in the staff safety training field. While onsite visits were made to various agencies that have developed innovative safety programs, not all were identified. This resource document is not intended to be definitive. Rather, it should serve as a catalyst for further development of training programs and the sharing of information.

Staff and administrators interviewed identified the fiscal aspect of providing training as a major concern. While many programs and types of equipment involve substantial financial outlay, methods by which effective, dynamic training is provided at minimal cost are identified. The avoidance of one serious injury or death covers the cost of many hours of training or could buy soft body armor for hundreds of officers.

There can be no excuse for lack of attention to personal safety issues. The greatest resource in the criminal justice system is the people who work in it. Agencies and officers alike need to share a sensitivity to staff safety and a dedication to ongoing, dynamic safety training programs.

## USE OF FORCE CONTINUUM

A use of force continuum is a model by which an officer can choose verbal and physical reactions to a subject's behavior from a range of options and adequately stop the subject's hostile behavior and establish command and control of the subject, but no more. The ultimate goal is to control the subject and situation, without over-reaction.

For many years law enforcement and corrections agencies have provided training in areas normally covered in a use of force continuum: defensive tactics, impact weapons, firearms, etc. However, agencies often overlook the issue of when to use a particular skill. Cases such as *City of Canton vs. Harris*\* and *City of Margate vs. Popow*† (see Arrest, Search, and Seizure regarding *Popow*) point to an agency's responsibility to train. They also address the liability issues of failing to do so. A use of force continuum provides a method by which an officer and the agency can articulate the reason for a specific level of force. It also serves as the foundation for training in verbal intervention, defensive tactics, chemical agents, impact weapons, firearms, legal issues, and report writing.

In *Canton*, a plaintiff sued the police department for failing to train its personnel adequately to deal with medical problems of arrestees. The Supreme Court discussed a circumstance where a failure to train could be construed as a "policy" by noting that "in light of the duties assigned to specific officers...the need for more or different training is so obvious, and the inadequacy so likely to result in the violation of constitutional rights, that the policy makers of the city can reasonably be said to have been deliberately indifferent to the need."<sup>‡</sup> To illustrate this point the Court cited the specific issue of judgmental training: "...City policy makers know to a moral certainty that their police officers will be required to arrest fleeing felons. The city has armed its officers with firearms, in part to allow them to accomplish that task. Thus, the need to train officers in the constitutional limitations on the use of deadly force...can be said to be 'so obvious' that a failure to do so could properly be characterized as 'deliberate indifference' to constitutional rights."<sup>§</sup>

The logical conclusion is that, if an agency is going to have officers involved in specific job functions (arrest, search, field contacts, electronic monitoring) and authorize the use of specific equipment (personal defense sprays, batons, firearms), the agency has a responsibility to train. The base for any training in the above areas is the use of force continuum.

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\*109 S.Ct.1197 (1989).

†476 F.Supp. 1237 (1979).

‡409 U.S. at 396.

§Ibid.

## **Force Policy**

A private attorney writing on use of force policies states: "Because the use of force does not occur in a vacuum, it should not be taught as an isolated event. Defensive tactics are often taught under static conditions, lacking the dynamics of a real confrontation, with the result that officers may have little confidence in the tactics and techniques learned. Realistic training involving use of force option selection by officers is needed to evaluate their understanding of the department's policies. Realistic simulations ranging from low level to high level provide a solid experience base for officer decisionmaking and timely feedback on the instruction given."<sup>1</sup>

### ***Development of a Force Policy***

In a paper entitled "A Model Policy on the Use of Nondeadly Force in Corrections: Based on a Comprehensive Analysis of Correctional Nondeadly Force Policies Nationwide," Darrell Ross, Ph.D. candidate at the Criminal Justice Institute of Ferris State University, outlines the following steps in developing a use of force policy:

1. Formulate a policy team,
2. Develop a work plan,
3. Structure a policy on physical force,
4. Draft a policy,
5. Review and revise,
6. Assemble and distribute,
7. Train staff,
8. Implement the policy,
9. Apply the policy,
10. Evaluate and revise.

Many private companies provide training in the various skills that are covered in a use of force continuum (i.e., verbal diffusion, defensive tactics, etc.). They require that the agency have an updated use of force policy in effect. They suggest that officers sign a document stating that they have read and understand the use of force policy. They also recommend that each officer receive annual in-service training on the contents and updates of the use of force policy.

## **Force Model**

Many training organizations have produced use of force models. They typically involve four to five levels of force. The progression starts with officer presence and moves through dialogue, empty hand control, impact weapons, and the use of a firearm. Within these categories, there is often a breakdown of various steps or techniques that can be used before proceeding to the next higher level. They present the force continuums in a stair-step fashion that some feel implies that the officer must apply one technique before attempting the next level. The obvious problem is that this does not consider other factors that affect the process. It may be necessary to respond at a higher level should the situation warrant it.

Just as there is escalation in force, there is also de-escalation. When officers have compliance, they must de-escalate the force level while maintaining control of the situation.

While there are various models, only a few address the type of individual or situation in which to apply the various levels. Inappropriate application of a technique can result in either excessive or ineffective control. Use of force instruction should address not only the levels of force, but also the appropriate level of threat. As stated by R.E.B. Security in a manual on Cap-Stun® weapon systems, "Sometimes we have put too much emphasis on how to apply force and not enough training into when to apply force."<sup>2</sup>

Figure 1 shows a use of force model developed by the Federal Judicial Center staff safety committee that was introduced in training during the summer of 1993. It incorporates differing levels of force with varying degrees of resistance. Any use of force model should be brief and straightforward. Officers must be able to recall it under the stress of the situation.

### ***Development of a Force Model***

Authorities disagree on the appropriate placement of Oleoresin Capsicum (OC) sprays within the continuum. Some authorities advocate the use of OC as the third level in the continuum, after **presence and verbal instruction**. The theory is that OC spray precedes physical force because there is less chance of either party suffering injury. Other authorities, including the use of force model from the R.E.B Security *Aerosol Instructor Training Manual*, place OC sprays at level four, after **passive control** such as pain compliance, pressure point control tactics, escort tactics, etc.

In developing a use of force model, each agency needs to first look at the types of training provided and develop a model consistent with its training. It does no good to have a model that incorporates many skills--such as verbal intervention, empty hand controls, OC sprays, batons, defensive tactics, and firearms--unless the agency provides training in each area. As new skills and equipment are added, the model can be revised. An agency must be able to defend whatever model is selected or developed for use.

By understanding the relative force behind various control options and knowing how they potentially affect an adversary, officers can better select the one(s) best suited to the physical resistance faced. They have a framework to which they can refer. If officers have confidence and skill in verbal and physical components of the force continuum, they will be less likely to resort prematurely to a firearm. They can cite the force continuum, identify where the situation ranks in intensity, and articulate the reasons for selecting one option over another.

### **Suggested Wording for Policy Manual**

"**Physical force** is to be used only in circumstances of justifiable self-protection or the protection of other persons. Probation/parole officers should use their discretion in using physical force. They should consider withdrawing from the situation and securing assistance when possible.

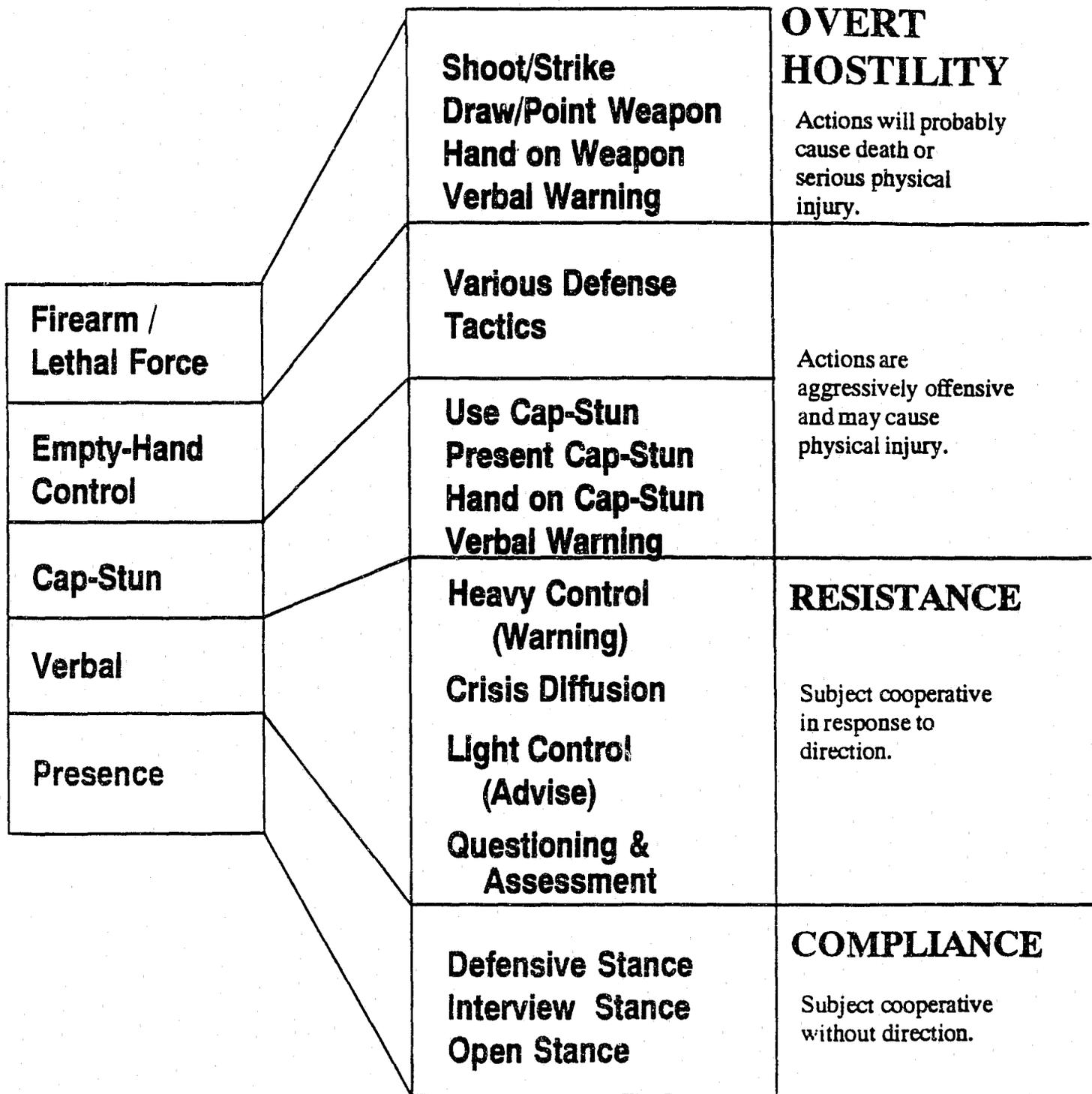


Figure 1. Continuum of Force Model developed by the Federal Judicial Center. (Reprinted with permission.)

When they use physical force, they should use only the minimum force necessary to control the situation.

"All incidents involving use of physical force or injury will be reported in writing to the (department head) within 24 hours."

When officers meet resistance, they should use the continuum to consider the amount of force to be used. They should keep the continuum in mind when articulating the reason(s) for the use of particular levels of force.

## Resources

Police S.A.F.E.T.Y. Systems developed the model shown in Figure 2. Agencies use the model extensively in conjunction with physical force training offered by the company.

Contact: Police S.A.F.E.T.Y Systems  
3350 W. 114th St.  
Chicago, IL 60655  
(312) 881-4342

PPCT Management Systems has provided self-defense training to many corrections agencies and has incorporated a force continuum in its program.

Contact: PPCT Management Systems, Inc.  
500 S. Illinois, Suite 3  
Milstadt, IL 62260  
(618) 476-3535

The model that was developed by the Federal Judicial Center staff safety committee is part of a two-day program entitled "Strategies for Survival." It was introduced in the summer of 1993. Contact information for the Federal Judicial Center is given on page 10.

# Use of Force Model

(The Use of Force Paradigm for Enforcement and Corrections)

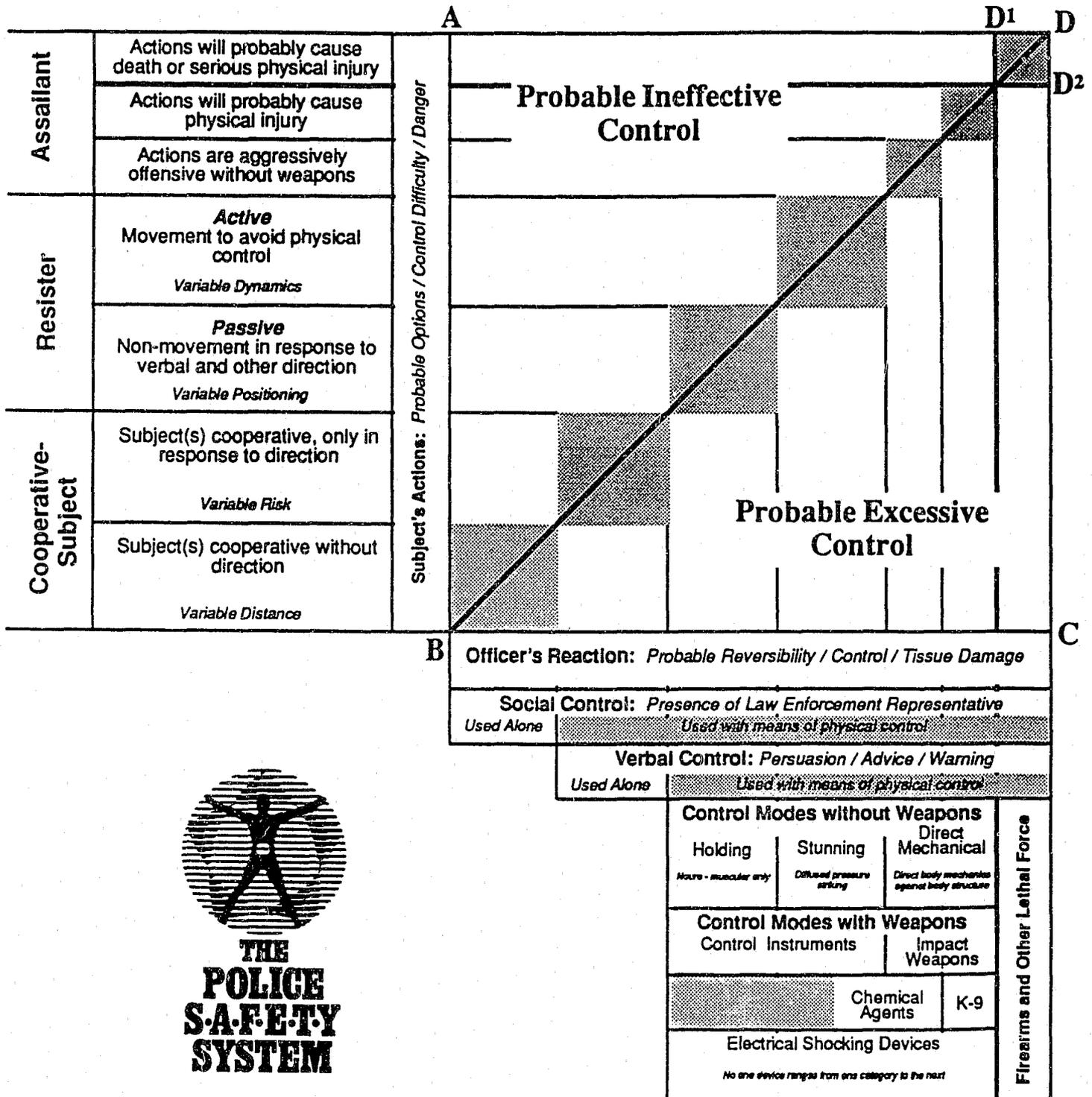


Figure 2. Use of Force Model. (Reprinted with permission of Police S.A.F.E.T.Y. Systems.)

# CRISIS PREVENTION

The public is concerned about increasing crime rates, particularly crimes of a violent nature. Citizens have demanded that the criminal justice system focus more of its efforts on punishment and control rather than rehabilitation. Increased accountability has resulted in the imposition of stricter conditions of supervision and greater emphasis on enforcement. An obvious by-product of these changes is a greater concern for the personal safety of the officers.

## Rehabilitative vs. Proactive Role

Under the rehabilitative model, the offender did not view the officer as a particular threat to his or her freedom. Offenders saw the community corrections officer primarily as a treatment provider or "broker" of treatment services. Consequently, officers posed little threat to the offender's freedom.

With more proactive approaches to community corrections and increased emphasis on accountability, officers are expected to spend more time in surveillance and enforcement activities. Both officers and clients increasingly see the role of the officer as one of enforcement and the relationship as adversarial. A task as basic as taking a urinalysis sample is an enforcement activity and can be viewed as adversarial by the offender. The subsequent potential for aggression and victimization increases dramatically. Management needs to recognize the increased threat and provide adequate training in various aspects of officer safety.

## Officer Victimization

While performing their duties, most probation and parole officers will be victimized. Victimization is "any violence, threat of violence, intimidation, extortion, theft of property, damage to one's reputation, or any other act that inflicts damage, instills fear, or threatens one's sensibilities."<sup>3</sup> Most workers in the criminal justice system, from clerical to administrative, consider victimization a serious possibility. Officers see their clients as more dangerous, posing more of a threat to staff safety.<sup>4</sup> There is a gradual recognition of the need for training on issues such as firearms and body armor. Reluctance to provide training is seen less often in the area of dealing with verbal aggression, which is a more common behavior encountered by officers.

Most aggressive incidents involving community corrections officers occur either in the office or at the client's home. Probation and parole officers are at considerable risk when conducting field visits. An assailant can decide when, where, and whom to attack on grounds that are purely selfish or totally irrational and indiscriminate.<sup>5</sup> Individuals who attack generally act alone, without ties to criminal or deviant groups.<sup>6</sup> Almost anyone, male or female, young or old, can attack or assault.<sup>7</sup>

Because the victimization of community corrections workers is a new phenomenon, researchers have done little to examine the problem. William Parsonage<sup>8</sup> suggests that the problem is both extensive and pervasive. The rates of probation and parole workers experiencing hazardous incidents range from 38% to 50%. The victimization rate is significantly higher when only probation and parole workers with direct responsibility for supervising clients in the field are considered.

The after-effects of victimization are often less visible, but perhaps even more significant. While 35% of the most serious incidents reported<sup>9</sup> involved physical assault, the following conditions were also reported:

- 56% of all worker-victims reported being "shaken-up" emotionally because of the incident;
- 11% said they experienced physical symptoms because of the incident (e.g., stomachache, headache);
- 18% of the workers experienced fear on the job as an after-effect;
- 23% reported disruption of personal and family life;
- Other psychological consequences included lack of self-confidence, reduced trust in clients, and reduced sensitivity to clients.

Worker-victims had the following opinions:<sup>10</sup>

- In 25% of the cases, victimization could have been avoided;
- In 22% of the cases, the agency could have done something to prevent it;
- In 55% of the cases, the agency could and should have been better prepared to cope with these events.

Agencies are attempting to identify high-risk offenders whose potential for violence is more obvious. As a result of this identification, agencies have taken steps such as making team assignments, purchasing body armor and communication equipment, and authorizing officers to carry weapons. Logistical considerations, expense, and officer disregard often prevent applying the same precautions to all offenders, particularly those with less documented histories of violence. In reality, an assault can come at any time and any place, and by anyone.

## **Officers' Mental Preparation**

It is the officer's mental preparation that is the ultimate survival tool. In the book *The Tactical Edge*, Charles Remsberg states, "What truly prepared officers can depend on for winning violent clashes is this:

**Mental Skill--75%, shooting skill--15%, physical skill--5%, luck--5%."**<sup>11</sup>

For community corrections officers who do not carry firearms and have little or no self-defense training, their mental skills become their only survival tool.

## Resources

Resources that may help prepare officers for incidents follow. A brief synopsis of each program is given. Further information about the programs is available by contacting the resource indicated.

### CRISIS RESPONSE

The Federal Judicial Center, with the assistance of a Staff Safety Curriculum Planning Committee, produced a "Participant Workbook" and supplementary videotape to support a two-day course dealing with worker safety. Materials relate to safety issues in the various environments within which officers and support staff function.

The workbook and the agenda for conducting the training take the participant through various situations. The participant uses checklists (e.g., office safety, telephone bomb threat, and office security) to observe for safety considerations. The workbook also provides information on how not to "look like a victim."<sup>12</sup>

### TRAINING TO READ DANGEROUS SITUATIONS

The Federal Judicial Center's staff safety program includes training materials on:

- Identifying the stages of a crisis,
- Identifying the worker's style in handling a crisis,
- Comparing conflict management styles,
- Learning to deal with a crisis.<sup>13</sup>

### SPECIAL WORKER SAFETY HAZARD TRAINING

As part of the staff safety training program, the Federal Judicial Center developed a section of the workbook on how to manage dangerous situations. It also teaches techniques for escape with the least amount of damage. The staff safety training goals for these materials are:<sup>14</sup>

- An analysis of prevention approaches in commonly experienced, dangerous situations;
- Development of crisis management and control techniques;
- Application of emergency responses when all else fails.

Contact:	Federal Judicial Center 1 Columbus Circle, N.E. Washington, DC 20002 (202) 273-4115
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## ENVIRONMENTAL TRIAGE

The Lehigh County Department of Probation and Parole in Pennsylvania developed a training program for staff on environmental awareness. This program teaches them to analyze sensory and environmental clues common to potential risk situations. It includes recognition of overt and subtle symptoms of potential danger in both the environment and subjects.

## AWARENESS OF VIOLENCE AND SAFETY ISSUES

The Lehigh County Department of Probation and Parole also developed a comprehensive officer safety training program. Part of the training includes an examination of the officer's personal role in dealing with offenders,<sup>15</sup> including:

- The dangers of developing a routine and complacency,
- Developing a survival state of mind,
- Using an awareness code.

Contact:	Department of Probation and Parole County of Lehigh 136-150 S. 4th Street Allentown, PA 18102 (215) 820-3410
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## UNARMED DEFENSE TRAINING

The Criminal Justice Academy in Colorado offers a course in unarmed self-defensive tactics as part of its pre-service and in-service training for probation and parole officers. A portion of this curriculum includes:

- Non-violent aggression management (how to de-escalate a potentially violent situation by means of non-violent aggression management techniques);
- Warning signs of impending aggression/violence (recognizing the psychological and physical signs in a person's preparation to attack);
- Handling an emotionally disturbed person (understanding the differences in dealing with an emotionally disturbed person as opposed to an emotionally upset person).<sup>16</sup>

**Contact:** Criminal Justice Academy  
Pueblo Community College  
2151 E. Highway 50  
Canon City, CO 81212  
(719) 269-1686

### **VERBAL JUDO**

The State of Connecticut offers a Safety and Defensive Tactics course that teaches juvenile probation officers to manage verbally and physically aggressive clients. Officers learn to identify the imminence of violent outbursts and prevent them by reducing tension through verbal interaction.

**Contact:** Officer Safety Programs  
Superior Court  
920 Broad Street, P.O. Box F, Station A  
Hartford, CT 06106  
(203) 566-8290

### **DEALING WITH AGGRESSIVE BEHAVIOR**

Personal Development Consultants developed a one-day course for recognizing and responding to aggressive behavior. In addition to identifying appropriate verbal and non-verbal responses to progressive levels of verbal aggression, the course includes self-awareness, officer self-control, and environmental safety considerations. The seminar is supported by video segments and a participant workbook. This curriculum is required for all newly appointed officers, in both adult and juvenile corrections, in the Washington State system.

**Contact:** Personal Development Consultants  
P.O. Box 654  
Tacoma, WA 98401  
(206) 847-5PDC

R.E.B. Security Training, Inc., offers a two-phase course in dealing with aggressive behavior. The first phase deals with verbal and non-verbal communication skills, including the stages of conflict, approaching an aggressor, and recognizing threat and positive commands. The second phase teaches personal defense and safety skills.

Contact: R.E.B. Security Training, Inc.  
P.O. Box 697  
Avon, CT 06001  
(203) 677-5936

### MANAGING CONFLICT, CRITICISM, AND ANGER

Seminars International offers a one-day course on how to respond to angry situations and ways to disagree without starting an argument or creating hostility. The seminar also deals with reducing hostility in the workplace and responding to criticism.

Contact: Seminars International  
14201 S. Mur-Len, Suite 202  
Olathe, KS 66062  
(913) 780-0020

### ALTERNATIVES TO EXCESSIVE FORCE

National Crisis Prevention Institute, Inc., offers a two-day seminar that deals with verbal intervention and physical intervention techniques. The verbal intervention portion provides information on understanding the dynamics of aggression. The physical intervention portion deals with restraint, control and transport, and team intervention. Instructor certification is also available through an additional two-day certification program.

Contact: National Crisis Prevention Institute, Inc.  
3315-K N. 124th Street  
Brookfield, WI 53005  
(800) 558-8976 (414) 783-5787

## HANDLING DIFFICULT PEOPLE

National Career Workshops offers a one-day seminar on how to deal with difficult people. The seminar focuses on motivation and predicting and preparing for difficult encounters. It also deals with maintaining self-control and developing confidence in dealing with difficult people.

Contact: National Career Workshops  
6901 W. 63rd Street, P.O. Box 2949  
Shawnee Mission, KS 66201  
(800) 258-7246

CareerTrack Seminars offers a one-day seminar that provides strategies for handling all types of difficult, "problem" people.

Contact: CareerTrack Seminars  
3085 Center Green Drive  
Boulder, CO 80301-5408  
(303) 447-2323

## BEHAVIORAL CLUES TO DECEPTION AND DANGER

Executive Security International, Ltd., offers a seminar that deals with deception, facial blueprints and expressions, voice and body language, and danger signs. The California State Board of Corrections uses this program.

Contact: Executive Security International, Ltd.  
Regional Office, P.O. Box 150058  
San Rafael, CA 94915  
(415) 453-9774

## ASSESSMENT OF VIOLENCE POTENTIAL

Specialized Training Services, Inc., offers a two-day seminar that includes assessment of the potential for violence and the psychopathic personality. The seminar includes DSM-III-R criteria for antisocial personality disorder, the Hare Psychopathy Checklist, psychobiology, management techniques, and reoffense data.

Contact: Specialized Training Services, Inc.  
16144 Del Norte  
Poway, CA 92064  
(800) 848-1226

# **SELF-DEFENSE AND PHYSICAL FITNESS**

The arena of personal safety for corrections workers is relatively new. The first research focusing directly on the victimization of probation and parole workers was published in 1989.<sup>17</sup> The role of the probation and parole worker is changing; the emphasis is no longer solely on the treatment of the offender. As arrests for violent crimes increase,<sup>18</sup> the public outcry is for protection first and rehabilitation second.

The trend has affected departments throughout the country. Many agencies are moving toward an "enforcement first and rehabilitation second" policy. Offenders are crowding jails and prisons faster than corrections facilities can be constructed. As a result, courts are more often considering community supervision or community confinement as an alternative.

## **Increased Officer Vulnerability**

With increasing publicity of events involving victimization of community corrections workers, officers have begun to be sensitive to their own vulnerability. Incidents such as the killing of a Dallas probation officer and the rape and beating of a state parole officer in Beaumont, Texas, provoke concern. A review of the statistics involving assaults to federal law enforcement officers in 1990 reveals that of 1,154 assaults, 413 involved use of personal weapons. A personal weapon is any part of the body--hand, fist, foot--that can be employed as a weapon.<sup>19</sup>

Police statistics show that victimization does not happen only in urban areas. It occurs in rural and suburban locations as well. An assailant can attack on grounds that are totally irrational.<sup>20</sup>

When law enforcement arrests suspects, the criminal justice system provides them with all the legal manifestations of due process. This is often not the case when probationers or parolees are concerned. Typically, they are not "tried" by a jury of their peers, but by a reviewing authority such as the parole board. The board determines the case based upon a preponderance of evidence rather than beyond a reasonable doubt. With diminished chance of freedom comes the increased chance of resistance. Further, community corrections officers do not wear the uniform and badge of authority so evident in traditional law enforcement. Consequently, community corrections officers may be more likely than police officers to encounter physical resistance.

Traditionally, community corrections workers have been complacent in matters of personal safety. They have seen workers retire from the system who have never been involved in a physical attack or a situation involving use of physical force. Since the primary focus was on rehabilitation, it was hardly likely that an offender would assault someone who seldom represented a threat to his or her freedom. However, with increased emphasis on enforcement and accountability, the role of the community corrections worker has changed. Too often

neither workers nor managers--both a product of earlier, less violent times--have adjusted their thinking or behavior accordingly.

Many agencies maintain a certain expectation that community corrections workers must accept the risk of verbal and physical abuse as part of the job. To some extent they must. That expectation is not always made clear to the prospective worker, however. At the organizational level, administrators have tended to downplay worker safety as a serious problem. Their concern is that such attention may also involve issues of agency responsibility and liability. "The cumulative consequence has been to deny sufficient attention to the problems of violent and abusive incidents involving workers in the line of duty."<sup>21</sup>

## **Self-Defense Training**

In agencies where safety programs do exist, supervisors and administrators often do not participate in hands-on training programs, perhaps believing that they no longer need to maintain their physical skills and technical abilities. The result is that they tend to lose their understanding of this critical portion of the field officer's job. It quickly becomes difficult, if not impossible, for the administrator or supervisor to objectively evaluate an officer's use of force or to identify and correct any adverse trends that current training may discover.

A study at the Colorado Law Enforcement Training Academy found that 79% of the officers felt that overly aggressive behavior on the part of officers is a result of lack of confidence. Of those surveyed, 86% also considered overly aggressive behavior a result of lack of training. Better training, improved self-confidence, better hiring standards, and yearly certifications were cited by most respondents as solutions to the problem of escalation of force.<sup>22</sup>

The study also determined that practice of self-defense skills must occur when students are in a physical state of stress similar to that experienced on the street. If the students do not achieve sufficient stress levels, or their levels become too high, learning is inhibited. The result is that the techniques that have not been repeated sufficiently to become an automatic or instinctive response are blocked out by the anxiety that occurs in a real encounter. The increased anxiety and lack of proactive response can lead officers to a fight-or-flight response, thus causing them to react inappropriately to the threatening situation.<sup>23</sup> Under stress in a crisis, officers will instinctively revert to the way they have been trained.

## **Resources**

### **UNARMED DEFENSE TRAINING<sup>24</sup>**

The Pueblo Community College's Criminal Justice Academy offers training in Defensive Tactics for Probation Officers. The curriculum includes increasing awareness, mental preparation, assessment of danger, non-violent aggression management, selection of force, defense considerations in the office setting, defense considerations for female officers, handling an emotionally disturbed person, edged weapons tactics, and defense against armed assailants. A training for trainers program is also offered.

**Contact:** Criminal Justice Academy  
Pueblo Community College  
3080 E. Main Street  
Canon City, CO 81212  
(719) 269-1686

### **DEFENSIVE TACTICS<sup>25</sup>**

A major component of the officer safety program developed by the Lehigh County Department of Probation and Parole is the Police Safety Systems style of defensive tactics developed by John Desmedt. Desmedt developed this system to train officers in a dynamic method that can be applied easily to real-life situations. Instructor certification is available through this program.

**Contact:** Department of Probation and Parole  
County of Lehigh  
136-150 S. 4th Street  
Allentown, PA 18102  
(215) 820-3410

The Maryland Police and Correctional Training Commissions developed a 12-hour entry-level training program on the basic principles of defensive tactics. These include vulnerable areas of the body, types of attack, defending and protecting yourself, and safety precautions. The techniques involve balance, body mechanics, leverage, and momentum.

**Contact:** Maryland Police and Correctional Training Commissions  
3085 Hernwood Road  
Woodstock, MD 21163-1099  
(410) 442-2700

### **YOSHIDA HAIR CONTROL TECHNIQUES**

The Washington State Criminal Justice Training Commission developed a use of force model

using Yoshida hair control techniques. The model uses the principle of pain compliance. Instructor certification is available through this program.

**Contact:** Washington State Criminal Justice Training Commission  
19010 First Avenue, S.  
Seattle, WA 98118  
(206) 764-4301

### **AVOIDING ARMED ATTACKS**

The Ohio Adult Parole Authority developed a program for avoiding all manner of armed attacks. This program is mandatory training for all staff in the department, including administrative staff. The program teaches staff how to avoid serious physical harm by disarming opponents who attack them.

**Contact:** Corrections Training Academy  
11781 State Route 762  
Orient, OH 43146  
(614) 877-4345

### **PRESSURE POINT CONTROL TACTICS**

The PPCT Defensive Tactics System emphasizes control of a person through the use of nerve motor points to minimize injury and avoid damaging joints or breaking bones.

**Contact:** PPCT Management Systems, Inc.  
500 S. Illinois, Suite 3  
Millstadt, IL 62260  
(618) 476-3535

The South Carolina Department of Probation, Parole, and Pardon Services adopted the PPCT system. The curriculum includes principles of controlling resistive behavior, use of force continuum, stimulus response training, pressure points, defensive countermeasures, vascular neck restraints, and weapon retention and disarming.

**Contact:** South Carolina Department of Probation, Parole,  
and Pardon Services  
Staff Development and Training  
P.O. Box 50666, 2221 Devine Street  
Columbia, SC 29250  
(803) 734-9244

### **SELF-DEFENSE**

The Federal Bureau of Prisons' five-day staff training program incorporates the principles of "Irimi" (stopping force before it develops) and "Tenkan" (allowing force to pass without resistance). The methods taught protect against attack and initiate control.

**Contact:** Staff Training Academy  
Federal Bureau of Prisons  
Training Building 21  
Glynco, GA 31524  
(912) 267-2711

The Federal Judicial Center developed a training module on self-defense that does not teach specific self-defense skills, but demonstrates easily learned and retained escape techniques. It develops appreciation for the art of self-defense and its value in enhancing personal and on-the-job safety. It also creates greater awareness of local resources for self-defense training.

**Contact:** Federal Judicial Center  
1 Columbus Circle, N.E.  
Washington, DC 20002  
(202) 633-6391

### **RAPID INTENSE SPECIFIC COMPETENCY (RISC) MANAGEMENT**

Supported by a grant from the National Institute of Corrections, the Wisconsin Department of Health and Social Services, Division of Corrections, developed a training guide for probation and parole agents in apprehension and defensive tactics.

**Contact:** Wisconsin Department of Health and Social Services  
Division of Corrections  
P.O. Box 07285  
Milwaukee, WI 53207  
(414) 769-5738

### **PHYSICAL CONFLICT CONTROL**

Police S.A.F.E.T.Y. Systems, Inc., developed a Physical Conflict Control training course for Cook County probation officers. The program teaches how to buy time and escape and also provides instruction in the use of weaponless control techniques.

**Contact:** Cook County Probation Department  
Director of Training  
2656 S. California Avenue, Lower Level  
Chicago, IL 60608  
(312) 890-3499

### **PERSONAL DEFENSE AND SAFETY SKILLS**

R.E.B. Security Training, Inc., developed a training program on personal defense and safety skills. Participants learn how to deal with common types of assaults (holds and strikes) using defense techniques that are applicable despite size and strength.

**Contact:** R.E.B. Security Training, Inc.  
P.O. Box 697  
Avon, CT 06001  
(203) 677-5936

### **AIKIJUJUTSU**

Shihan Miquel Ibarra is a 7th degree black belt in the art of Jujutsu and a 2nd degree black belt in Daito Ryu Aikijujutsu. He has completed a series of training videos on the use of Aikijujutsu and is available to conduct seminars.

Contact: Shihan Miquel Ibarra  
New York Bodokon  
P.O. Box 667  
Bronx, NY 10462  
(212) 931-1056

## Physical Fitness Training

Although community corrections personnel work in a psychologically stressful environment, little is done to mandate physical fitness standards. Most offenders are younger than the average community corrections officer, are still involved in some kind of physical activity, and are often in much better physical condition than the officers. Often parolees have spent prison time lifting weights and otherwise getting themselves into good physical shape.

Some probationers and parolees have also taken the initiative to learn tactics they believe will serve them "on the streets." These range from defensive and offensive tactics to street fighting and disarming techniques. During routine surveillance, prison authorities at various institutions have videotaped inmates practicing techniques for escape and control while being searched.

There is no universal physical fitness standard among community corrections agencies or emphasis on physical fitness other than what may be necessary to participate in various aspects of training. Little research is available on physical fitness for corrections workers; generally most of the research pertains to law enforcement.

In a study of police officer physical fitness, Bracy<sup>26</sup> found that "due largely to poor diet and lack of exercise, a significant sample of American police officers possessed a body composition, blood chemistry, and general level of physical fitness greatly inferior to that of a similar-sized sample of convicts." Since the emphasis on fitness is even less for community corrections workers, it can be interpolated that the problem is likely much greater.

The ability of an average officer, in average shape, to exert maximum effort will last no more than 20 to 45 seconds. A research program in Missouri measured the heart rates of police officers not trained in efficient combat skills during simulated street fights. When told they were going to fight, the officers' average heart rate rose from 75 beats per minute to 85. Placed on mats and given the fight rules, the average rate surged to 120. After actually struggling with partners for just 30 seconds, their rates ranged from 185 to 235 beats per minute. The average human heart starts coming apart when overloaded at 220 beats or more per minute over a period of time. In short, if an officer cannot conclude an encounter quickly, he/she risks not only severe assault but a heart attack as well.<sup>27</sup>

Healey,<sup>28</sup> in writing on law enforcement officers, presents a convincing argument that management has a fitness responsibility to its officers and suggests that physical fitness is a "tool." He

believes it is unfair to place the burden of quality effectiveness on each individual. An overall physical fitness program is the joint responsibility of both the worker and the agency. The California Department of Corrections has instituted a fitness program that rewards officers with a \$65 per month pay benefit if they meet the program goals.

## Resources

The Ohio State Patrol started a mandatory health and fitness program for all of its officers. In March 1991, it instituted a progressive discipline policy for troopers who fail minimum fitness standards.

**Contact:** Ohio State Patrol Training Academy  
740 E. 17th Avenue  
Columbus, OH 43211  
(614) 466-4896

In October 1986, the St. Louis Police Department began mandatory physical fitness testing and a voluntary wellness program for police officers. The program requires annual testing for certain physical abilities to determine a fitness level.

**Contact:** St. Louis Police Department  
Training Academy  
315 S. Tucker  
St. Louis, MO 63103  
(314) 231-1212

The California Highway Patrol has been testing officers since 1979 and administers mandatory tests annually. The physical performance program evaluates the officers' performance against the established standard for a particular job task.

**Contact:** California Highway Patrol Academy  
3400 Reed Avenue  
West Sacramento, CA 95605  
(916) 372-5620

While most law enforcement agencies test officers in some form of physical fitness during attendance at training academies, they do little to set standards after training is completed. Illinois conducts testing for officers according to age and gender.

**Contact:** Local Governmental Law Enforcement Officers Training Board  
600 S. 2nd, Suite 300  
Springfield, IL 62704  
(217) 782-4540

# OLEORESIN CAPSICUM

Oleoresin Capsicum (OC) is an inflammatory agent that occurs naturally in cayenne peppers. When used as a deterrent spray on humans, it inflames mucous membranes, causing closing of the eyes, coughing, gagging, and shortness of breath. It also causes a sensation of intense burning on the skin and mucous membranes inside the nose and mouth. Many agencies have authorized, or are authorizing, the use of OC sprays by their officers.

## FBI Testing of OC

Between July 1987 and May 1989, the Firearms Training Unit of the FBI Academy at Quantico, Virginia, conducted many tests using OC sprays. They used both the 1% and the 5% solutions.

Generally, the 1% solution is sold to civilians, and the 5 to 5.5% solutions are reserved for law enforcement use. The 5% solutions, however, can be purchased over the counter in various areas. A 10% solution is currently on the market and is being evaluated by the FBI; however, the FBI has not yet published those results.

## Physical Effects

The FBI found that the individuals tested exhibited physical effects ranging from severe twitching to involuntary closing of the eyes. Respiratory inflammation included coughing and shortness of breath, as well as gasping with a gagging sensation. Other symptoms included inflammation of exposed skin, ranging from a slight to acute burning sensation and redness of the skin. Some individuals experienced minor cases of nausea and catatonia. None of them experienced any long-term effects from OC. Respiratory functions usually returned to normal within 2 minutes after each test. Visual acuity returned within 2-5 minutes after decontamination. The eyes of most individuals appeared bloodshot for 10-15 minutes after contact with OC.

The FBI also found that, unlike CS and CN gases, OC particles dissipated from clothing in a short time. The effects of OC will not stay on clothing and the offender can be transported without affecting the officer. Most authorities recommend that offenders be transported after the spray has dried.

## Decontamination Procedures

An enclosed area is decontaminated by opening doors and windows for ventilation. Generally, all effects will completely disappear within 30 minutes for the 1% concentration and 45 minutes for the 5% concentration.

The subject's face and eyes should be flushed with cool water and a non-oil-base soap or detergent used to remove the resin from the skin. The skin should be patted dry with a cloth towel, not rubbed. A wet towel or ice packs can be applied to the affected areas to reduce inflammation. Commercial eye wash should not be used during the decontamination process.<sup>29</sup> If effects persist, medical attention should be sought.

## Current Use of OC by Agencies

Many law enforcement and corrections agencies use OC sprays with a high degree of success. The FBI study showed that of the 42 departments surveyed, only one cited an example where OC proved ineffective on a subject. A report by the British Columbia Police Commission stated, "In over 93% of the cases, the spray was totally effective for use to incapacitate a subject. Officers submitting the reports often included glowing comments regarding the spray."

The British Columbia report went on to show that in 104 applications of OC spray "...there were no injuries to suspects or officers arising from the use of the spray." Contamination was listed as "slight" or of no significance in the vast majority of the cases, and the spray appeared to work effectively on dogs (2 of the 104 applications were on dogs).<sup>30</sup>

## Purchase Considerations

An agency authorizing the carrying and use of OC sprays should consider the following when purchasing them and when developing training. Training on the use of OC sprays should be consistently updated, reviewed, and practiced by staff, similar to training on any defensive tactic or device.

- Identification of psychological and physiological effects of OC spray;
- Location of OC spray on a use of force continuum;
- Proper stance, body position, and techniques in the use of OC spray;
- Verbal directions or commands to noncompliant subjects before and after using OC spray;
- Recommended number and lengths of bursts to be used on noncompliant subjects;
- Techniques for decontamination of individuals in areas exposed to OC spray;
- First aid procedures to be administered to individuals exposed to OC spray;
- Reporting procedures to be followed after using OC spray.

Specific purchase considerations include:

- Size of canister,
- Percentage of concentration,
- Propellant spray distance and spray pattern,
- Trigger mechanism.

## ***Size of Canister***

Field corrections personnel usually use a pocket- or purse-size model. The next larger model can be clipped on a belt or carried in a larger pocket, such as on a coat. The size of the canister correlates to the effective spray distance. The pocket-size models range in effective distance from 2-6 feet, depending on the brand. The belt or coat-pocket styles range in effective distance from 4-15 feet, depending on the brand. If a weapon is carried, some agencies recommend that the spray be carried in a position to facilitate use by the "weak hand," leaving the "strong hand" available for use of a firearm.

## ***Percentage of Concentration***

Most agencies select the 5 or 5.5% solution (depending on the brand), although a 10% solution is available. As part of its study of OC, the FBI has tested the 10% solution for effectiveness; preliminary results suggest that it is not necessarily more effective. To get a more accurate evaluation of the strength, examine the number of Scoville Heat Units (SHU). Named after the pharmacologist Wilbur Scoville, SHU is a measure of pungency or heat intensity. The higher the SHU level, the more potent the spray.

## ***Propellant Spray Distance and Spray Pattern***

Alcohol is a common propellant used in OC sprays. Some companies combine alcohol with water or use a freon base. Proposed changes in environmental protection regulations could severely restrict the use of freon. Many agencies prefer the cone-type spray over the direct-stream spray because it requires less accurate aim. There is also less likelihood of eye injury caused by direct contact with a high-pressure stream pattern. The width and distance of the spray correlate to the size of the canister, the resulting nozzle flow rate, and spraying pressure (impact per square inch).

## ***Trigger Mechanism***

Issues of accidental discharge and access by offenders need to be examined when considering the type of trigger. Most of the popular spray brands have some type of safety mechanism on the canister or holder. The pocket-size sprays have a guard on the holder or a "turn and press" device.

## **Resources**

Richard Faulkner of the National Institute of Corrections developed a *Chemical Agent Instructor's Training Manual*, which provides complete information and instruction in the use of OC sprays. It also contains a report on a 1987 FBI study of OC sprays.

Contact: J. Richard Faulkner, Jr.  
Correctional Program Specialist  
National Institute of Corrections  
Community Corrections Division  
320 First Street, N.W.  
Washington, DC 20534  
(202) 307-3106 Ext. 138

R.E.B. Security Training, Inc., developed a training manual and program about the use of OC spray. The program provides information on the effects of OC spray, a use of force model, recognition of threat, use techniques, and decontamination procedures.

Contact: R.E.B. Security Training, Inc.  
P.O. Box 697  
Avon, CT 06001  
(203) 677-5936

# BODY PROTECTION

As field work becomes more precarious, officers need to explore all options to ensure their safety and survival. An incident can occur at any time; officers in the field are particularly vulnerable to a surprise incident jeopardizing their safety. A variety of protective precautions are available--including soft body armor, gloves, and identification jackets--and are generating increasing interest among community corrections agencies.

## Soft Body Armor

Given all the levels and types of soft body armor available, how does an agency or individual select the appropriate body armor? The key element to keep in mind is that **body armor is of no use if it is not worn!**

### *Threat Level*

The National Institute of Justice (NIJ) standard 0101.03 establishes six formal armor classification types and a seventh special type. Realistically, an agency's choice probably will be between Type II-A and Type II. The following is an explanation of the four most common levels considered.

- **Type I**--Protects against .22 long-rifle high-velocity lead bullets, .38 special round-nose lead bullets, and most other handgun rounds in .25 and .32 caliber. Research shows that most bullets used to kill law enforcement officers in 1991 had a higher velocity of .38 or .357. Thus, Type I is probably not enough protection.
- **Type II-A**--Protects against lower velocity bullets: .357 magnum, 9mm., .45 auto, and 38+P. As protection increases, so does the weight of the garment, which uses progressively more material. Type II-A is recommended as the lowest level of protection an individual or agency should consider purchasing.
- **Type II**--Protects against higher velocity .357 magnum and 9mm. bullets and lower velocity .41 and .44 magnum rounds. The armor is heavier and more bulky than Type II-A and may not be suitable for full-time use in hot and humid climates. It is the level used by many law enforcement agencies in more temperate areas.
- **Type III-A**--Protects against higher velocity .44 magnum bullets and 9mm. full-metal-jacket rounds. It is unsuitable for routine wear but may be appropriate for special operations use.<sup>31</sup>

Most of the major companies producing body armor provide ballistic data and threat level information in their brochures. The main point to consider is the appropriate level for the specific work conditions. Again, **body armor does no good if not worn.**

Although designed primarily for handgun assaults, soft body armor has also prevented serious injuries from traffic accidents and from physical assault with clubs. It does not protect against knives and other cutting instruments.

## ***Material***

Suppliers currently offer soft body armor that is constructed of Kevlar®, Spectra Shield, a combination of Kevlar and Spectra Shield, or Ultra Shield (which the manufacturer says should not be confused with Spectra Shield). NIJ indicates that various design ideas and combinations of materials are possible and advises, "If armor has been demonstrated to provide the desired level of protection, the user should not be concerned with the design, but should look for proper fit and comfort."

**Kevlar**, developed by DuPont, is the material most commonly used in the construction of soft body armor. First used in body armor in 1972 as Kevlar 29, it was later improved to provide greater strength with less weight. The new fiber is called Kevlar® 129.<sup>32</sup>

In 1985, **Spectra**, a material spun from a solution of ultra-high-molecular-weight polyethylene, was introduced and subsequently used in the production of Spectra Shield. The material produces a vest with the same relative stopping power as Kevlar but at a lighter weight. Many body armor manufacturers now use Spectra, either alone or with Kevlar.

Spectra Shield is more rigid than Kevlar, and for that reason many officers prefer the combination of the two materials. Officers say that, once worn, Spectra Shield vests tend to mold to the body and are more comfortable than when first purchased.

A new product introduced in January 1992 is **Ultra Shield HP II**, developed by Top Line, a division of A&B Industries, in Cincinnati, Ohio. Ultra Shield HP II is lighter weight than other materials, but retains the same threat level protection. Exclusive distribution does not allow for examination of the product in a retail outlet, such as a uniform store.

## ***Other Selection Considerations***

The administrator of one probation office failed to obtain adequate information before the purchase of body armor. As a result, only one threat level III-A vest was ordered for approximately every four officers. Only half of the vests fit an average-size male, and none of the vests was suitable for female officers. The vests were usually left in the office or in the car trunk.

NIJ recommends assigning the selection task to a committee of two or three officers who become familiar with armor technology and are able to independently assess the needs of the department. Consideration should be given to:

- Threat level selection,
- Type of armor,
- Comfort and fit,
- Body coverage,
- Method of purchase and contract specifications,
- Quality control,
- Maintenance.

The NIJ Technology Assessment Program has issued several publications that are of great benefit in making an informed decision:

- Selection and Application Guide to Police Body Armor, NIJ Guide 100-87;
- Model Body Armor Procurement Package;
- Police Body Armor—Consumer Product List.

To obtain these publications, contact:

Technology Assessment Program Information Center (TAPIC)  
Box 6000  
Rockville, MD 20850  
(800) 24-TAPIC  
(301) 251-5060

### ***Policy Considerations***

After selecting the appropriate soft body armor, an agency should decide whether use requirements should be established. Many law enforcement agencies now require officers to wear body armor while on duty; some community corrections agencies are considering this policy. Of the 191 law enforcement officers killed between 1981 and 1986 as the result of wounds to the torso, the majority probably would be alive had they been wearing body armor.

Deaths and serious assaults to community corrections staff have usually occurred in situations that would be considered routine work. If body armor is to be of any real use, it should be worn during any type of field work. A training program should be established that covers limits of protection, care and use, required inspections, and medical procedures in case of shooting or injury.

## Kevlar Gloves

Death or serious injury comes not only from the barrel of a gun; it can also result from the prick of a needle or the bite of an offender. In 1992, a federal probation officer in Tacoma, Washington, had to undergo a series of nine shots and blood draws after being stuck by the needle of a syringe taken from an offender during a search. The two main concerns were HIV and Hepatitis B.

Kevlar is now used in the manufacture of protective gloves designed to stop the puncture or penetration of foreign objects. Originally developed for surgeons, Kevlar gloves are effective for searches and pat-downs. The gloves are extremely flexible, which allows dexterity and sensitive touch, and are also fire resistant. Latex gloves can be worn underneath for added protection from fluids.

Reports show that Kevlar gloves provide 30 times more protection against cuts and 35 times more protection against needle punctures than wearing no protection.<sup>33</sup> Although the gloves won't stop a bite, they will reduce the risk of penetration.

## Identification Jackets

An issue discussed in law enforcement, but largely ignored by corrections, is identifying officers in the field. Everyone at the scene should be able to tell the "good guys" from the "bad guys" when law enforcement assistance is needed, when high-risk tasks such as searches are being conducted, and when assignments involve other agencies. When problems arise in such situations as home contacts and backup assistance is summoned, the backup officers should know "who's who." Law enforcement officers have been mistakenly shot by other officers because the "players" could not be identified.

An effective way of dealing with this problem is the use of jackets with agency identification flaps. While they appear to be standard casual jackets, they have flaps that can be quickly pulled down to provide immediate identification. Some jackets also accommodate soft body armor.

Initially "raid" jackets had the agency title stenciled on the front and back. That style works well when the need for identification is anticipated, but agencies often do not anticipate the need for identification by backup officers. Most officers would not want to do routine field work with **PROBATION/PAROLE** stenciled across their backs. Some corrections agencies, with local police permission, use the standard term **POLICE** instead of **CORRECTIONS** or **PROBATION/PAROLE** to avoid any confusion to bystanders.

## Resources

Following are firms that market soft body armor, Kevlar gloves, and identification jackets.

### KEVLAR MATERIAL

Contact: DuPont Corporation  
Chestnut Run Plaza  
705 Building, P.O. Box 80-705  
Wilmington, DE 19880  
(302) 999-3007

### SPECTRA SHIELD MATERIAL

Contact: Allied Signal, Inc.  
High Performance Fibers Technical Center  
P.O. Box 31  
Petersburg, VA 23804  
(804) 520-3321

### ULTRA SHIELD MATERIAL

Contact: Government/International Sales  
Top Line  
P.O. Box 301  
Blue Ridge, VA 24064  
(703) 977-0021

### KEVLAR GLOVES

Contact: Medical Armor Corporation  
P.O. Box 708  
Fremont, NE 68025  
(800) 359-8024

Contact: DML Distributing  
P.O. Box 568351  
Orlando, FL 32856  
(407) 282-9474

#### IDENTIFICATION JACKETS

Contact: Hidden Agenda  
P.O. Box 19213  
Seattle, WA 98109  
(800) 426-5225

Contact: Gulf States Distributors (windbreaker design)  
(205) 271-2010  
(800) 223-7669 (orders only)

# OFFICE SAFETY

An officer who anticipates difficulty with a client will often arrange for the client to come into the office on the assumption that the office is safer than the field. While being on "home ground" may provide some comfort, failure to attend to personal safety in the office can result in serious incidents.

On October 10, 1990, an emotionally distraught person with a history of mental disorders threatened a U.S. Probation Officer with a loaded weapon in the Western District of Kentucky's Owensboro office. The officer was able to press a panic button, which alerted the court security officer. The security officer, responding to the duress alarm, saw the probation officer being held at gunpoint by the client. In the resulting struggle, the probation officer and the court security officer were able to subdue the client and take possession of the weapon. A shot was fired during the struggle, but no one was injured.

The probation officer later stated that, although he was authorized to carry a weapon, he had left it at home that day because he planned to be in the office. Like most officers, he thought that he was safe in the office.

## Safety Surveys

In Texas, a safety subcommittee surveyed parole officers regarding their experiences with intimidation, threats, and assaults and solicited the officers' opinions regarding various safety issues. Of those surveyed, 38% indicated they had been intimidated by clients in the office.

The New York State Division of Probation and Correctional Alternatives,<sup>34</sup> with the Council of Probation Administrators, representatives of the local department, various probation officer associations, the Division of State Police, and the Civil Service Employees Association, surveyed all probation staff and staff working with the alternatives to incarceration programs to discover how dangerous they perceived their work to be. Of the staff surveyed, 51% said they felt fearful while in the office, citing the following factors as contributing to this fear:

- Lack of emergency communications and exits,
- Clients wandering through the halls,
- Tension in office meetings with probationers,
- Lack of armed guards or defensive weapons.

The after-effects of victimization from office assaults are less apparent but perhaps more significant than the event itself. They include emotional upset, physical symptoms, fear on the job, lack of self-confidence, reduced trust in clients, reduced sensitivity to clients, and disruption of personal life.

Workers surveyed indicated they feel their agencies could have avoided many victimization events had preventive measures been taken. Some of these measures could include designing offices to address safety considerations; carefully controlling movement of clients and visitors; training support staff--often the first line of contact with hostile clients--to defuse aggressive behavior; and designing personal offices with safety in mind, with potential weapons secured and escape routes and plans for dealing with emergency situations devised. An accountability plan should be in effect for staff working alone in the evenings and on weekends.

Clearly, safety should begin in the office, where most workers spend a significant portion of their time. Critical attention should be paid to the office environment.

## **Office Safety Procedures**

Community corrections offices have implemented several procedures recommended by various safety task force committees to improve officer safety and security in the office. Some are described below. Where possible, specific contacts are cited.

A well planned and maintained office should be a safe and pleasant place to conduct business. Besides being a credit to the community, it should also be a dynamic example of the ability to improve safety design from work experience. The Florida Department of Corrections developed office appearance standards that consider design, size, location, and use of space.

### **OFFICE ENTRY AND EXIT**

- Before entering the office, workers should make a visual check of the outside of the building. Ensure that everything appears "normal." Doors providing access to staff work areas should be locked and access controlled. All entry and exit doors should be constructed of solid core materials and should always be locked unless under visual control.
- Parking areas should not identify reserved spaces with the names of individuals. Parking areas should be close to the office and well lit.
- All offices should have a policy for key issue and return. Distribution of keys should be restricted to need. Additionally, a procedure for handling lost or misplaced keys should be developed and arrangements for duplication specified.

### **CLIENTS AND VISITORS**

- There should be only one designated entrance and exit for clients.
- If possible, waiting areas should be located away from secretarial work areas. Valuables such as purses and money should not be left in public view.
- All clients should be escorted to and from the reception area by the supervising officer. The client should always precede the officer and should never be unattended.

- Appropriate lighting should be used in entrance and waiting areas.

#### **SUPPORT STAFF**

- Support and clerical staff should have separate, secure work areas to help reduce the possibility of their being harmed by hostile, aggressive individuals. Signs limiting access to the clerical work areas should be clearly displayed.
- Support staff should be trained in crisis intervention to learn techniques for defusing aggressive behavior. These skills may prevent personal victimization and may also reduce the possibility of injury to others.
- Officers should advise clerical staff of anyone they believe to be a potential problem. In addition, clerical staff should be trained to be observant of potentially aggressive behavior or other problems.
- Abusive or obscene telephone calls should not be tolerated. The caller should be advised that verbal abuse is not acceptable and, if it does not cease immediately, the phone call will end. Ongoing harassment calls should be investigated immediately.
- Clerical and support staff should not be expected to deal with an abusive or unruly client. They should be well versed in office emergency procedures and should have access to some type of alarm button.
- The receptionist should be separated from the waiting area by a secured door and bullet-proof glass. The entrance to the inner office should have a sign advising that no weapons or contraband are permitted and that persons and belongings are subject to search.
- Access to packages, purses, and bags beyond the security door should be limited.

#### **PERSONAL OFFICES**

- Officers should be aware of everything in their personal work area. They should be selective in choosing items to keep in the office, particularly those items normally located on a desk. Family photographs should not be displayed for viewing by the client. Keys and other personal items should never be accessible to the client. Files, desks, and supplies should be secured when not in use.
- Office doors should be kept open whenever a client is in the office.

#### **PHYSICAL ARRANGEMENT OF OFFICE**

- Furniture should be arranged to allow access to the door for easy exit if needed. Desks should be arranged so they are not a barrier to escape in the event of a hostile situation. Chairs should be placed so that the officer's chair is the one closest to the door.

- File cabinets, desks, and chairs should be placed so as not to impede an escape route from the officer's chair to the door. Some type of obstacle should be situated between the visitor's chair and the door.
- Officers should be aware of potential weapons available to visitors in the office, including letter openers, pens, picture frames, and note spindles.
- An office plan should be in place for handling an aggressive or violent client, and all staff should be familiar with it.
- Officers should have an alarm system or "panic button" to summon assistance.
- All staff should know emergency code words and procedures.
- Emergency telephone numbers should be readily available. Officers should not rely on memory in emergency situations.

#### WORKING ALONE IN THE OFFICE

- Officers should advise building security personnel of their presence on weekends or during extended work hours.
- Officers who are going to be working late in the office (or arriving alone on weekends) should move their cars to a parking place nearest the building.
- When working alone, the officer should inform someone, a supervisor or a spouse, for instance, of his/her location and estimated time of departure. A system of regular telephone checks should be established.
- Answering devices (message recorders) should be used. Workers should listen and call back immediately if necessary.
- The outer or entry door should be opened **only** to known persons. All entrances and windows should be locked.

Contact:	Florida Department of Corrections Regional Administrator, Probation and Parole P.O. Box 2400 Gainesville, FL 32602 (904) 336-2035
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Some agencies have a "sterile" office, with no objects on the desk or pictures displayed that could be used by potentially hostile offenders. The Adult Parole Authority in Lebanon, Ohio, is among them and has examined a variety of practical approaches that could fit the resources, circumstances, and environment of agency offices.<sup>35</sup>

Contact: Adult Parole Authority  
500 Justice Drive  
Lebanon, OH 45036  
(512) 932-4040

The Southern District of Indiana U.S. Probation Office developed a staff safety manual, part of which deals with office safety issues.

Contact: John D. Baker, U.S. Probation Officer  
Chairman, Personal Safety Committee  
Room 101 Federal Building  
225 N. High Street  
Muncie, IN 47305  
(317) 747-5567

The Federal Judicial Center produced a two-day course dealing with worker safety. The training workbook and agenda take the participant through "situations" using various scenarios and checklists for such issues as office safety, telephone bomb threats, office security, and emergency response.<sup>36</sup> Contact information for the Federal Judicial Center is given earlier in this report.

# **ARREST, SEARCH, AND SEIZURE**

As the role of the probation officer becomes more adversarial, more occasions may arise when probation officers will make arrests involving search and seizure. Failure to perform the tasks involved effectively can result in dire consequences.

On November 14, 1991, a 26-year-old man killed two Island County sheriff's deputies in the State of Washington. The deputies had arrested him for driving under the influence of alcohol. During the arrest, they "pat" searched, handcuffed, and transported him in the patrol car to the county jail for a breathalyzer test. After their arrival, both deputies secured their service weapons, removed the suspect from the car, escorted him to the breathalyzer room, and took off the handcuffs. During the test, the suspect removed a secreted .32-caliber semi-automatic handgun from his clothing and fatally shot both deputies (who were wearing protective vests) in the head at close range.

## **Arrest Responsibility**

Recognizing the increased danger of making arrests, many community corrections departments have transferred the responsibility to local law enforcement authorities. Department of Justice statistics reveal that, between 1986 and 1990, arrest situations were the leading cause of deaths among law enforcement officers (40.1%) and the second highest factor in assaults on them (26.8%). Community corrections agents cannot totally avoid responsibility for this part of the job, however. They may be called upon to participate in the arrest with law enforcement, or the arrest may occur in the community corrections office. Clearly, the arrest procedure and all that it entails become an adversarial action. The likelihood of resistance is greater than at any other point in the officer-client relationship.

An Oregon State parole officer told a reporter that one of his clients, a convicted murderer, put the job of the parole officer into good perspective. The offender told the officer, "Jack, this whole thing between you and me is a game, but we can die playing it."

## **Armed or Unarmed?**

The issue of whether probation and parole officers should carry weapons is one of considerable debate. It reflects how the role of the officer is perceived. With the changing role of the officer and the changing environment, this issue must be addressed.

As the possibility of violence by the offender increases, so does the need to provide adequate measures to ensure officer safety. In 1948, there were three times as many police officers as violent crimes. Now there are twice as many violent crimes as police officers. Nearly half of

the homes in the United States have at least one firearm and, in rural homes, the presence of a shotgun or rifle is common.<sup>37</sup>

The agency must use discretion when deciding how to deal with these issues. Many agencies, such as the Washington Community Corrections Department, conduct searches, make arrests, and transport prisoners without firearms. Other jurisdictions, such as the San Diego County Adult Probation Department, arm only special units that deal with unique offender groups (e.g., drug abusers or gangs) and are more likely to be in high-risk situations. However, a review of cases where community corrections personnel were seriously assaulted or killed shows that most incidents occurred during routine duties, such as office or field contacts.

Some research has identified issues regarding the safety of officers carrying firearms.<sup>38</sup> Particularly in situations involving arrest, the potential dangerousness of the client needs to be considered when making the decision whether to carry firearms. Unfortunately, violence cannot be predicted with great accuracy. Attacks can occur that seem totally irrational and indiscriminate.<sup>39</sup>

## Firearms Training

An integral part of a firearms policy is training and certification, which raise many questions:

- Who should be authorized to carry firearms?
- What training should they receive?
- How often is their proficiency reviewed and how?
- When is the use of firearms authorized?
- What are the legal ramifications and liabilities?

In many corrections agencies, firearms training has consisted of firing rounds from varying distances at static targets. Many authorities believe that these methods will no longer meet the legal test.

### *Popow vs. City of Margate*

A federal court case filed under Title 42, Section 1983 of the United States Civil Rights Act, *Popow vs. City of Margate* (476 F. Supp. 1237 [1979]), involved a shooting in Margate, New Jersey, that has had a significant impact on in-service firearms training for many law enforcement departments. *Margate* is the case most often cited by plaintiffs' experts when examining the relevance of police firearms training.<sup>40</sup>

In Margate, two police officers were pursuing an apparent kidnapping suspect on foot. An officer's stray bullet killed an innocent bystander, Darwin Popow, as he came out of his house in response to the commotion. In deciding the case, the U.S. District Court in New Jersey analyzed and evaluated the firearms training received by the police officers. The court looked at relevance, realism, and recency.

In rendering its decision against the City of Margate and its officers, the court concluded the training given the officers was "grossly inadequate." Its evaluation revealed that no training or instruction had been given on shooting at moving targets, nor any simulation provided that would teach officers when to shoot. Due to the low number of shootings involving field corrections personnel, no similar challenge in corrections could be found.

## *Elements of Effective Training*

More training hours are spent on the use of firearms than on any other specific area of training, which is appropriate considering the seriousness of the use of a weapon. However, agencies and officers should not be led to believe that going to a range and shooting holes in paper targets constitute adequate training. A well-rounded training program involves:

- Mental preparation,
- Proper use of force,
- Involvement in mock shooting situations,
- Exposure to realistic shooting situations under stress.

Effective training programs can be costly, and most corrections agencies use local law enforcement training facilities. California State Parole uses the Orange County Sheriff's laser village for part of its firearms training. Many law enforcement agencies have been meeting the legal challenges for some time and are quite helpful in designing or adapting programs to fit community corrections officers' needs. The key is to provide training on a regular basis, focusing on specific skills that come under the broad umbrella of firearms training. To adequately address legal concerns, any firearms training program must consider the issues of **relevance, realism, and recency.**

### Relevance

Relevant shooting situations can be set up by using professional or in-house videos or "Hogans Alley"-type mock situations. Officers should try to duplicate the real environment as closely as possible.

Studies at various police academies nationwide have shown that officers, when confronted with a deadly threat, are generally unable to return fire quickly and effectively while holding objects in their hands. The first author of "Officer Down," a training resource for law enforcement officers, told of a police shooting where the officer confronted a deadly force threat while holding a pen in his gun hand. Without dropping the pen, he drew his revolver and fired several rounds. Because the pen altered the way the gun fit his hand, none of the rounds hit his intended target. His brain focused on the threat and was unable to simultaneously signal his hand to let go of the pen.

Many officers have been trained to stand and shoot at the seven-yard line. A major consideration for training is to ensure that officers are taught to think about moving to cover and

out of the line of fire while shooting. This technique, often referred to as tactical thinking, prioritizes the elements of combat shooting as:

**Tactics--40%**

**Accuracy--30%**

**Power--20%**

**Speed--10%**

Another consideration in the use of firearms is what happens when an officer is shot. While reading the following statement, fill in the blank with the first word that comes to mind.

*"During a bank robbery today, two people were shot and \_\_\_\_\_."*

Most people will insert *killed*, forgetting *injured* or *wounded*. In fact, more people survive gunshot wounds than die from them. Of all shooting victims reported, 60% to 70% survive. There is a 90% chance of survival if the victim reaches the hospital alive.<sup>41</sup>

### Realism

Students attending training should wear the same type of clothing they wear on the job. If they wear body armor in the field, they should wear it during training. Verbal commands to the supposed assailant should be combined with the firearms training. Auditory and visual stimuli found in real-life situations should also be used.

Light conditions and structural settings of the training should correspond to the situations officers are likely to encounter on the street. In shootings involving law enforcement officers, 60% occur in low-light or night-time settings.<sup>42</sup> With more field contacts and non-standard work hours, community corrections must also address visibility issues when designing firearms training. Low-light indoor ranges and low-light indoor **shoot/don't shoot** situations are examples of training techniques that can be used.

Interactive video training, such as FATS (Firearms Training System), provides opportunities for officers to train in "shoot/no shoot" situations. However, since FATS generally uses law enforcement scenarios, corrections personnel sometimes feel this training is not relevant to their work. The JUST (Judgment Under Stress Training) system uses videotape to record any situation the trainer wishes to present. Situations can be set up that require the officer to evaluate what level of force is appropriate. Other training issues, such as the use of OC spray, can also be incorporated.

Training not only benefits officers, but judges, attorneys, and citizen groups as well. They quickly come to realize the complexity of the situations officers face and the stress and speed under which decisions must be made.

### Recency

In addressing the issue of recency, budget concerns may come into play. Be creative! The training can focus on the "total behavior"--the thinking (decisionmaking) process, the feeling (the

officer's physical reactions under stress), and the doing (overall performance in shooting situations). Does the officer give appropriate verbal commands, seek appropriate cover, avoid auditory and visual shut-down, and respond to changes in the environment (e.g., other individuals)?

Conducting long hours of training infrequently is not the best method to increase proficiency with firearms. Skills are best learned and retained when they are practiced for shorter periods of time more frequently.

## ***Firearms Training Policy***

Richard Faulkner and the staff of the National Institute of Corrections compiled a list of suggested issues to be addressed in firearms policy and training.

- Agency mission statement;
- Physical requirement;
- Use of force model;
- Type of ammunition authorized;
- Secondary weapons;
- Body armor;
- Incident reporting procedures;
- Legal liability issues;
- Weapon security in the office or field;
- Arrest, custody, and transportation;
- Team work approach;
- Instructor's authority regarding firearms;
- Display and presentation of firearms;
- Off-duty policy;
- Statutory authority;
- Labor-management issues;
- Training requirements;
- Psychological implications;
- Type of weapon authorized;
- Purchase of weapons;
- Self-defense training;
- First aid training;
- Employee assistance program;
- Local police department protocol;
- Shooting review board or panel;
- Communication;
- Gender issues in training;
- Discharge-of-weapon policy;
- Personal weapons;
- Weapons inspection;
- Interstate compact.

## **Resources**

The Federal Bureau of Investigation (FBI) developed a 26-page document entitled *Shooting Incidents: Issues and Explanations for FBI Agents and Managers*. It consists of:

- Psychological and physiological aspects of shooting incidents,
- Legal issues for FBI agents involved in shooting incidents,
- Guidelines for supervisors and managers who conduct administrative inquiries into shootings involving agents,
- Guidelines for supervisors and managers who report the results of administrative inquiries into shootings involving agents.

Contact: Firearms Training Unit  
FBI Academy  
Quantico, VA 22135  
(703) 640-6131

The Sacramento County Probation Department developed a 22-page firearms policy covering many relevant issues. The policy provides examples of wording to be used when contacting law enforcement authorities to report a shooting incident.

Contact: Chief, Probation Department  
Sacramento County  
9601 Kiefer Boulevard  
Sacramento, CA 95827  
(916) 855-8501

The Utah Department of Corrections developed a firearms policy that it incorporated into a training program on officer survival. It includes a pre- and post-training test along with videotaped situations in which participants make decisions on when to enter a room, draw their weapon, call for assistance, etc.

Contact: Regional Administrator  
Utah Department of Corrections  
431 S. 300 East  
Salt Lake City, UT 84111  
(801) 533-4984

The Peoria County (Illinois) Adult Probation Department firearms policy<sup>43</sup> identifies authorized procedures regarding the use of firearms and impact weapons by officers. They include firearms training and requalification, costs, types of firearms, display of weapons, use of weapons, discipline, and report of discharge.

**Contact:** Chief Probation Officer  
Peoria County Adult Probation Department  
228 N.E. Jefferson  
Peoria, IL 61603  
(309) 672-6018

William Ward, of SAFE (Simulated Advanced Firearms Education), has worked with various community corrections agencies and has developed scenarios using the JUST system that are specific to parole and probation.

**Contact:** William Ward  
P.O. Box 522  
Denton, NC 27239  
(704) 869-2616

## Use of Search Teams

In conducting searches, community corrections officers face unique situations that require special training. Unlike police officials, many community corrections personnel have no greater powers of arrest than ordinary citizens. When confronted with resistance from individuals other than those under supervision, the actions the officers can take are limited. In addition, court rulings in many jurisdictions are unclear as to the amount of force that can be used without a search warrant.

Recognizing the unique problems and potential dangers of conducting searches, some departments use special search teams staffed by officers trained in all aspects of conducting arrest, search, and seizure activities. These officers may or may not carry a caseload.

## Resources

The Washington Division of Community Corrections developed an extensive program in arrest, search, and seizure techniques for officers. The multi-phase program consists of three two-day training sessions.

- Phase 1 teaches basic search, handcuffing, and seizure techniques.

- Phase 2 covers the development of the arrest plan and coordination with local law enforcement officials.
- Phase 3 provides instruction on dealing with hostile and resistant offenders.

Contact: Washington Division of Community Corrections  
Capital Center Building  
Olympia, WA 98504  
(206) 753-4616

In 1979, the U.S. Probation Office in the Western District of Washington pioneered training in the area of search and seizure for corrections personnel. It produced a training video entitled *Safety in Search and Seizure*, which covers legal issues and techniques for planning and executing a residential search.

The training recognizes that a major mistake made in searches is that officers want to start searching before they properly control the area and its occupants. The importance of team work and the proper use of law enforcement is emphasized. The training program involves one day of classroom instruction and one day of practical exercise. Participants practice the skills learned during various scenarios and receive performance-based feedback.

Contact: Robert L. Thornton  
Sr. U.S. Probation Officer  
1717 Pacific Avenue, Room 1310  
Tacoma, WA 98402  
(206) 593-6304

The U.S. Probation Office for the Northern District of Georgia in Atlanta developed a *Search and Enforcement Team Manual*. The manual provides samples of consent-to-search forms and property receipts and information on:

- Warrantless search,
- Stages of a search,
- Evidence procedures,
- Radio and communications procedures,
- Notification of law enforcement agencies.

**Contact:** Larry Wiley  
Deputy Chief U.S. Probation Officer  
2003 U.S. Courthouse  
75 Spring Street  
Atlanta, GA 30303  
(404) 331-6441

## Planning an Arrest

Officers can maximize the potential for a safe and successful arrest when they plan it thoroughly. In evaluating or developing an arrest, search, and seizure program, the individual or committee should ensure that it covers at least the following areas and issues.

- The arrest plan should identify who or what is the target, when the arrest should occur, where it should take place (e.g., office or field), and how it should be conducted. The plan should include information about any other occupants (in a residential arrest); the layout of the target; the landlord's name and telephone number (if applicable); and the client's telephone number, work and living schedule, and photographs.
- The arrest should be coordinated with appropriate local law enforcement personnel. While the extent of their involvement may vary, at a minimum they should be informed of the plan. In instances where the offender poses sufficient risk, or individuals not under supervision may be present, law enforcement should participate in the arrest.
- Several factors should be considered in selecting a search team, including:
  - The gender of the offender (e.g., if the offender is female, how will the frisk search be conducted?);
  - Specialized needs of the offender or situation (e.g., history of violence, need for Child Protective Service involvement);
  - Language barriers;
  - The training and experience of the team members.
- Any necessary documents or equipment should be included in the arrest plan, including:
  - An order for arrest,
  - Transportation vehicle,
  - Handcuffs,
  - Search kits and body armor.
- Before conducting an arrest, the arrest team should conduct visual surveillance of the target.

- Before the arrest, a briefing should provide all team members with information needed to conduct the arrest safely and effectively. Duties are assigned, including who will talk, who will provide cover, and who will perform the tasks (arrest, search, etc.). There should be no question of who is in charge. After the arrest or search, a debriefing should be held to evaluate the strengths and weaknesses of the incident.

## Resources

The Pennsylvania Board of Probation and Parole requires field supervision staff to "receive formal training in the correct and safe procedures to be followed in effecting an arrest and transporting prisoners."<sup>44</sup> It also offers a course in advanced arrest strategies, including those for high-risk confrontations.

Contact: Director of Training  
Pennsylvania Board of Probation and Parole  
P.O. Box 1661  
Harrisburg, PA 17105  
(717) 783-7045

The New York State Division of Parole and John Jay College of Criminal Justice developed a 40-hour program entitled *Street Survival for Parole Officers*. The program content includes:

- Preplanning for arrest,
- Handcuffing and speedcuffing,
- Confrontations,
- House arrests and searches,
- Domestic violence intervention,
- Search and transportation.

A manual with lesson plans is provided to participants in the course.

Contact: Director, Staff Development  
New York State Division of Parole  
97 Central Avenue  
Albany, NY 12206  
(518) 473-9666

## **Approach, Entry, and Control**

Before conducting an arrest, the search team should carefully observe the following procedures.

- Conduct a visual check of the target. Be alert for warning signs that the arrest might be a higher risk than anticipated, including excessive foot traffic, signs of apparent substance abuse, watchdogs, or heavily secured or barred entrances.
- Team members should be positioned to maintain visual or radio contact. Communication throughout the arrest process is vital to success and safety.
- The approach should be made from the direction least visible to the target.
- In gaining entry, the arrest team should have identification, such as badges and department insignia, clearly visible. Visual or radio contact should be maintained with all members of the team during the operation.

## ***Searching Techniques***

Search techniques need to be periodically reviewed and new issues and hazards discussed. Dynamic training that simulates stress conditions based on realistic situations provides the most effective learning opportunity.

- To be effective, a search should follow consistent methodology, whether the search is of individuals, residences, offices, or vehicles. The search target should be broken down into quadrants and each quadrant searched in its entirety.
- In conducting a search, officers should use a grasping motion rather than patting to avoid accidental needle sticks or contact with other potentially dangerous objects.
- Some departments advocate using a search baton instead of hands, even when protective gloves are worn. As officers become comfortable with the baton, they can discern any objects that would be normally felt by a manual search without endangering themselves.
- Whenever possible, an offender should be searched by an officer of the same gender. This helps prevent later claims of misconduct against the officer.
- If a house or business is to be searched, search assignments should be made as part of the arrest plan.
- Officers should not search a house or business without the offender being present. In the offender's absence, another adult who lives or works at the house or business, or the owner and/or manager of the house or business, should be present.

Celayaton Defense Systems developed a search and control stick that is able to detect the presence of needles, sharp instruments, and weapons. Not only does it help the officer avoid injury while conducting searches, but it can also be used to control the subject.

Contact: Celayaton Defense Systems  
5 Cape Court  
Monsey, NY 10952  
(914) 352-4813

### *Using Canines in Searches*

In many jurisdictions, technical violations of the conditions of probation or parole may not provide local law enforcement with the authority to conduct a search of a parolee's or probationer's residence. Community corrections officers consequently cannot always rely on law enforcement canine (K-9) units for assistance.

The probation department in Santa Barbara County, California, developed its own K-9 program and has assisted several other probation departments, including those in Tennessee and Alaska, in establishing one. Santa Barbara County uses a search clause in its probation order as one of the main tools to ensure that the offender is in compliance with the law.

The Santa Barbara County program has been highly successful. The dogs provide a unique ability to sniff out drugs, saving numerous hours in what otherwise would be a very labor-intensive process. The dogs can detect five different drugs and have located a variety of weapons. The dogs average 30 hours of training per month and are used approximately 5 hours per week.

The K-9 program has provided other benefits as well. When local law enforcement uses the probation department's dog(s) on a search and assets are seized, the probation office shares in the asset forfeitures. The program has also helped to develop positive relations with law enforcement and the community. The dog handlers demonstrate the dogs' ability at local schools and use the dogs to search jails and juvenile halls for contraband.

In a one-year period, the K-9 unit found 180 kilos of cocaine and 18 pounds of marijuana. In one incident, officers told a probationer that the dog would be called to search his vehicle, prompting the probationer to spontaneously retrieve three doses of heroin concealed in the engine compartment. The cost of the dogs is more than recovered by asset forfeitures.

**Contact:** Edwin C. Hamlin  
Deputy Chief Probation Officer  
Santa Barbara County Probation Department  
117 E. Carrillo Street  
Santa Barbara, CA 93101  
(805) 568-2850

## ***Contraband Management***

The agency's contraband management policy should outline the following.

- The search team should have a pre-arranged plan to handle any confiscated property or evidence. The plan should include identification of the evidence officer and his/her location.
- The evidence officer should be well versed in the department's policies and procedures regarding the chain of evidence. Planning and maintaining a chain of evidence are vital for successful handling of any contraband.
- The lead arrest officer should be certain that sufficient evidence kits are available before the arrest.
- The evidence officer should only describe confiscated materials without attempting to provide an analysis of their contents. Testing and identification of the materials should be left to the experts.

## ***Handcuffing***

The importance of proper handcuffing techniques cannot be overstated. Hundreds of officers have been injured or killed because they considered an individual to be harmless and cooperative and did not apply handcuffs as a routine practice. Agencies should establish policies that clearly cover:

- **Why** handcuffs are used,
- **When** they are to be used,
- **How** they are to be used,
- **Who** is to be handcuffed.

Agency handcuffing policy should also emphasize that:

- A subject under arrest should be maintained in restraints until placed in a secure facility.
- The greater the potential for violence exhibited by the offender, the greater the need to place the offender in a disadvantaged position (e.g., standing, kneeling, or prone).
- Officers should practice handcuffing in dynamic training situations with subjects of different sizes, genders, and levels of resistance.

Many defensive tactics training programs incorporate handcuffing techniques. Handcuffing training may seem boring and redundant, especially to the more experienced officer. However, the art of safely and effectively applying restraints brings together the skills of verbal diffusion, non-verbal communication, proper use of physical force, and the role restraints play in the use of force continuum. Handcuffing skills training can be integrated into simulations that call for using various techniques with different types of offenders. Officers should know how to apply handcuffs on individuals who exhibit varied levels of resistance.

The U.S. Marshals Service training manual states that officers must follow certain safeguards to apply handcuffs properly. They must:

- Remain alert to unexpected moves,
- Approach the prisoner from the rear or the side,
- Maintain control of the prisoner and keep him/her off balance,
- Search the prisoner thoroughly,
- Handcuff the prisoner with hands behind the back and palms facing outward,
- Double-lock the handcuffs,
- Check the handcuffs by slightly pulling or pushing the handcuff jaw.<sup>45</sup>

Current training techniques maximize positioning, balance, and speed. Officers are instructed to order an offender to place his/her hands in the desired position, rather than reaching over or around the person and exposing themselves to danger. The same considerations apply when removing handcuffs.

A safety newsletter published by the U.S. Probation Office in Sacramento, California, suggests that before officers arrest, handcuff, or transport an offender, they should be able to answer the following questions:

- What will I do if the prisoner resists cuffing?
- What will I do if the prisoner physically attacks?
- What will I do if the prisoner becomes violent while being transported?
- Where will I take a prisoner who has a medical emergency while being transported?
- What will I do if others interfere with the arrest?<sup>46</sup>

The National Institute of Justice Technology Assessment Program publishes various reports on handcuffs and standards (NIJ Standard 0307.01).

Contact: National Institute of Justice  
Technology Assessment Program  
(800) 248-2742  
In Maryland and metropolitan Washington, DC, call  
(800) 251-5060

Traditionally, three types of handcuffs have been available: chain-link, hinge, and disposable models. Another option, first used in 1991, is the Quik-Kuf, which reportedly offers greater control of the subject. Quik-Kuf has a rigid handle that is fitted to existing handcuff design.

Contact: Quik-Kuf  
2606 Pawnee #8  
Garden City, KS 67846  
(800) 535-5111

### *Transporting an Offender*

In Sacramento, California, a deputy U.S. marshal placed his weapon under the front seat of his vehicle before entering the jail to pick up a prisoner. When he returned with the prisoner, he forgot to retrieve the weapon. It subsequently slid into the back seat area where the prisoner was sitting. The prisoner, handcuffed with his hands in front, grabbed the weapon, ordered the deputies to pull over, and escaped.

In 1990, 11.6% of the assaults on law enforcement officers occurred in transport situations.<sup>47</sup> Officers responsible for transporting an offender should not depend on others to search the vehicle or the offender. Nor should they be insulted if another officer searches the offender again.

Guidelines for safely transporting prisoners include:

- The offender and the vehicle should always be searched before conducting a transport. This includes agency vehicles and shield cars.
- Official vehicles should be used whenever possible. Consider issues of safety, liability, and insurance premiums before using privately owned vehicles for official transport.
- Offenders should always be restrained during transport.

- At least two officers should be involved in transporting an offender. An officer should maintain constant contact with and surveillance of the offender throughout the transport.
- Offenders should not be allowed unscheduled stops or phone calls once the transport process has begun.
- Everyone in the transport vehicle should be required to wear safety belts throughout the transport.
- Only officials should know the exact route and final destination.

## **FIELD WORK**

In the late 1970s and early 1980s, it became apparent that rehabilitation of offenders was difficult, at best, with clients who had little investment in change. In 1990, 1 out of 43 adults in the United States was under some form of correctional supervision--1 in 24 men and 1 in 162 women. The parole population grew by 16.3%, 30% of whom left prison under mandatory release. This was an increase of 24% since 1977.<sup>48</sup>

### **Demand for Intensified Supervision**

The public is concerned with ever-increasing costs, widespread substance abuse, social unrest, gang activity in inner cities, and a rash of particularly heinous and violent crimes. Citizens are demanding through their legislatures that prisons incapacitate and punish offenders rather than attempt to rehabilitate them.<sup>49</sup>

A Bureau of Justice Statistics report on recidivism of felons on probation between 1986 and 1989 found that within three years of sentencing, and while still on probation, 43% of the felons studied were rearrested for another felony. Half of these arrests were for violent crime (murder, rape, robbery, or aggravated assault) or a drug offense. Within three years from sentencing, 46% of all probationers had been sent to some form of custody or had absconded. Among those under intensive supervision, 39% had a prior felony conviction and 75% were drug abusers.<sup>50</sup> Consequently, the demand for intensified supervision increased.

Some are reluctant to give up entirely on rehabilitative efforts, however. An editorial in the *Statesman's Journal*, a Salem, Oregon, newspaper, proposed the following:

The 1993 Legislature must give priority to stronger supervision of released offenders and rehabilitation programs. Fixing the problem may cost millions of dollars and require innovative solutions, but it must be done. Parole and probation administrators must abandon the status quo and demand the proper tools, money, equipment, time, staff, and laws to do the job.<sup>51</sup>

### **Accountability**

A buzzword in the field of corrections is "accountability," meaning increased surveillance, stricter conditions of probation and parole, more substance abuse testing, more frequent home and field visits, and more frequent arrests. No longer is treatment an officer's primary role. A heavy emphasis has been placed on enforcement, which places officers in parts of the community that have not always been supportive of their presence.

Top management traditionally responds to these demands in several ways:

- They deny that the changes in probation and parole have increased the potential danger to officers.
- They look for the easy "quick fix," such as simply providing a range of safety equipment.
- They develop an integrated staff safety approach.<sup>52</sup>

## **Field Dangers Increase**

Some jurisdictions have largely suspended field visits in certain high-risk areas. While this decreases the risk to the officer, it all but provides sanctuary to offenders who live in certain neighborhoods or are particularly dangerous. This approach also places the very existence of probation and parole in jeopardy. It would be difficult to explain to the media and the legislative body providing the agency's resources that high-risk parolees and probationers are not being supervised because they pose too great a threat to an officer.<sup>53</sup>

However, research shows that the threat is real. A preliminary report on assaults on community corrections officers released in 1992 by the Federal Probation Officers Association revealed that, in 28 reporting states, 1,025 physical assaults occurred against state and local probation, parole, and pretrial services officers since 1980. In these assaults, eight officers were murdered, one raped and murdered, one firebombed, three shot and wounded, two clubbed, three slashed with a knife, one abducted, eight shot at (but not wounded), and two held hostage in separate incidents.

In December 1991, a U.S. Probation Officer was parking his government vehicle in the Broward County, Florida, sheriff's district station parking lot. Three armed men attacked him. They forced him to the ground and then struck him on the head with a handgun. After robbing him of personal belongings, the assailants escaped in the vehicle.

These statistics and examples emphasize that attacks can come at any time, anywhere--even in the parking lot of a sheriff's office. Safety is not something that is put on, put over, or carried in a pocket, but is a total behavior--thinking, feeling, and doing. It is a way of life.

Having some form of support has proven to be one of the best deterrents to attack. The chance of assault is reduced by 70% with the presence of a partner and by 90% with the presence of two other people. Most corrections agencies do not have the staffing to allow officers to consistently work in teams, however. When a threat is known, as with specific high-risk cases, officers can pair up, but, since not all attacks occur when dealing with known high-risk offenders, officers working alone should be able to summon assistance when needed.

## **The Rural vs. Urban Environment**

While urban and rural environments are different, good safety techniques are the same. Planning, preparation, and appropriate techniques increase safety regardless of the environment.

Working in a rural area does not make an officer any more or less safe; officers working in New York City can be just as alone when help is needed as those working in the mountains of Colorado. The key to safety is mental preparation and the maximum use of available resources.

On May 27, 1992, a Missouri state probation officer received a report that gunshots had been heard coming from the woods around the rural home of a 63-year-old man on probation for felony charges of assault and armed criminal behavior. The probationer had failed to report for an earlier meeting with the officer, who decided to investigate and asked a local deputy to accompany him.

When they did not get a response at the offender's residence, the officers returned to their cars. The probation officer later said a "gut feeling" told him not to get back into his car; instead, he got into the deputy's car to discuss the situation. The offender came from behind the house and began shooting, hitting the probation officer's car five times. The officers retreated down the road leading to the house and called for backup.

Police officers arrived, surrounded the house, and instructed the offender to come out unarmed. When he failed to respond, officers fired tear gas into the house. A short time later he came out of the back door and lay down in the grass about 10 feet from the house. Believing the probationer was giving up, officers moved in. As they got close, he lifted an AK-47 semi-automatic rifle and began firing at them. They returned fire, and the probationer was fatally shot. None of the officers was hurt.

The probation officer later said, "I don't care how macho you are, it's not something you forget." In his 16 years as a probation officer, he had not given much consideration to something like this happening. Now he feels that in making field contacts "there are lots of things to consider, even how you park your car."

The officer heeded the warnings from the locals with whom he had taken the time to establish rapport. He took a police officer with him when he was given information that caused him concern. He listened to his instincts. He planned, he prepared, and he is alive!

## Communications

In Parsonage's study, *Worker Safety in Probation and Parole*,<sup>54</sup> surveys in Pennsylvania, Texas, New York, and Virginia ranked two-way communications as a high priority for enhanced safety. In many areas, a communications device is the only safety tool an officer has. There are many decisions to be made when considering communications equipment--**portability, transmission, dispatch, and training.**

### *Portability*

When considering the use of two-way radios or cellular phones, portability is a concern. Evaluations of field incidents have shown that a communications device mounted in the car will

not be as useful as a portable unit. Most of the hazardous situations that occur take place on the street or in a residence.

A favored type of two-way radio is a portable unit that has a mount in the vehicle. Commonly called "jerk and run," or "converta-comm," this type of radio operates from the car battery when in the holder and can also transmit through an exterior antenna. When removed from its holder, it contains its own power source and transmits on lower wattage. Dealers suggest, however, that constant removal of the radio can damage the unit. Considering repair costs, having a car-mounted unit and a separate unit officers can carry on their belts can be just as cost-effective. Cellular phones can also be portable. With the in-car power supplies and car-mounted exterior antennas currently available, use time and range increase.

## *Transmission*

When deciding what type of communications equipment to purchase, an agency must first determine such issues as what frequency it will use, the type of terrain in which the radio or phone will be used, and the distance to a repeater for broadcasting. Consider the weakest link regarding potential transmission problems, and select a communications device that will meet that need. For example, many rural areas do not have coverage for cellular phones. The main concern is to provide communication that is available when needed, including when the officer is not in the car.

## *Dispatch*

Another consideration is with whom the officers will communicate. If radios are chosen, will the agency have its own base station and frequency, or will it use another law enforcement dispatcher and frequency? If an agency has its own base station and frequency, the radios can be used for many transmissions that would normally occur by phone, such as from officer to office, and can include distress buttons. Officers can press a distress button and an alert will appear on the base screen. For this feature to be effective, officers must be able to advise a dispatcher of their location.

This is also true for radios that send out a distress signal if the unit falls below a set degree of incline. A potential problem with these devices is that just by leaning back in a chair with feet raised, an officer can activate the signal. Some manufacturers have a system that hooks into a mobile radio and sends back the location, but the base must have equipment to monitor the signal. Many shared law enforcement frequencies cannot constantly monitor the location of community corrections officers.

Radios that have scanning ability provide added safety benefits to officers. Where approved, officers can communicate with numerous agencies and can also monitor police communications. They can then be aware of safety issues in the community, such as gang activity, shootings, and other situations into which they might otherwise walk blindly. Officers working in rural areas can program their radios to communicate with forest service personnel or game wardens who may be available for emergency assistance when other law enforcement officials are not.

## ***Training***

Like any tool, a radio and, to a lesser degree, a cellular phone require that personnel be trained regarding appropriate use, especially in stressful situations. Initially, many officers are reluctant to use communications devices, especially when they connect to a law enforcement agency. They can be intimidated by the speed of transmissions and codes that they hear. But like body armor, the radio or phone does no good if not used.

Training exercises should include the use of the radio or cellular phone to call for assistance or to report a hazardous situation. Officers should practice being aware of their location or current address in case they need to call for assistance. When a crisis occurs, an officer will not have time to look for a street sign or ask an attacker for the address.

In a review of an actual shooting involving police officers, one officer left cover, leaned into the police car while putting down his now empty weapon, and used the car radio to call for assistance. The officer was wearing a portable radio that used a repeater unit, which made it just as effective as the car radio. Assistance calls should be covered as part of firearms or safety training.

The Motorola Corporation has been a leading supplier of law enforcement equipment for many years. It has government contract rates and representatives who specialize in sales to law enforcement agencies.

<b>Contact:</b>	Motorola Corporation Customer Response Center Sales and Technology (800) 247-2346
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## **Electronic Monitoring**

Electronic monitoring has brought new problems and concerns to the issue of field safety. Commonly, electronic monitoring signals require an immediate response to an offender's residence. The offender knows he/she is in violation and that an officer is coming. Others in the area, in addition to the offender, could also pose a threat.

An offender pleaded guilty to the charge of possession with intent to distribute cocaine in federal court in Brooklyn, New York, and was convicted of purchasing kilo quantities of cocaine. As a result of his substantial assistance to the government and because he had no previous criminal record, he was placed on five years probation with six months home confinement under electronic monitoring. He was treated as a high-risk case with intensive supervision. The

probationer was allowed to leave his home to go to work. He worked from 4:00 p.m. to midnight, and usually arrived home between 1:15 and 1:30 a.m.

Officers had previously responded to the probationer's home on three occasions when the equipment indicated there were problems. Officers suspected that the probationer may have continued his drug involvement while on probation.

At approximately 12:30 one morning, two armed men entered his residence. They tied up his common-law wife and left her in an upstairs bedroom. They took the telephone off the hook. The probationer's brother-in-law and his girlfriend arrived at the residence and were also bound. At approximately 1:30 a.m., the probationer arrived home. He was met at the door by the armed men and was not allowed to enter the residence. The intruders asked if he had "the money" and, when he said "no," they shot him several times and fled.

At 1:34 a.m., the monitoring center was alerted after a routine monitoring call determined that the phone was off the hook. The monitoring center attempted to remedy the problem for 30 minutes before paging the supervising probation officer, who did not immediately hear the page. When he later responded to the pager, the probation officer was told that the police were at the scene. The probation officer went to the scene, retrieved the monitoring unit from the home, and went to the morgue to remove the transmitter from the probationer's ankle.

Had the probation officer heard his pager, he would have called another officer and gone to the offender's home to determine the cause of the monitoring device signal. Had he responded earlier, he may have walked in on the incident and become a victim himself.

### *Resolving Monitoring Alerts*

When an electronic monitoring coordinator (EMC) is notified of a violation, every effort should be made to resolve the situation by telephone. The EMC should call the offender's home or alternate numbers, check any office answering machines that receive emergency calls, and contact the telephone company to determine if service has been interrupted for reasons beyond the control of the offender. If the EMC decides that it is an equipment problem and it is after hours, repair can usually wait until the next day.

If a home contact is needed, officers should always have some form of backup, either another field corrections officer or local law enforcement. Whether responding alone or with a partner, an officer should notify a police dispatcher or someone who can summon assistance if the officer does not report in within a given period of time.

In rural areas, a contact person or agency can check on the offender when distance makes immediate response impractical. This may be local law enforcement, a neighbor, or any other person who is responsible enough to respond to the offender's home, day or night, and verify the offender's presence.

Important to any officer, but especially to an EMC, is the issue of his/her own telephone security. EMCs should consider the following security issues.

- Are you listed in the telephone book?
- If you choose to be, have you considered listing only the number without an address?
- Do you have "caller ID" in your area and, if so, have you blocked access to your home number?

## Resources

The U.S. Probation Office in Brooklyn, New York, established specific procedures and guidelines for officers' response to home confinement and electronic monitoring incidents.

Contact: Elaine G. Terenzi  
Deputy Chief  
U.S. Probation Office  
75 Clinton Street, Room 405  
Brooklyn, NY 11201  
(718) 330-2626

Karl Richins of the U.S. Probation Office in Salt Lake City, Utah, has provided staff safety training using a street survival approach to numerous state and federal offices that provide electronic monitoring and home confinement programs.

Contact: Karl Richins  
U.S. Probation Office  
U.S. Courthouse  
350 S. Main, Room 160  
Salt Lake City, UT 84101  
(801) 524-3343

# CANINE CONSIDERATIONS

Increasingly, more businesses and individuals--including offenders--are using dogs for protection. Because most offenders are prohibited from possessing firearms, dogs are becoming a more common means of protection. In San Francisco, California, some judges hearing probation cases are setting conditions of probation that preclude offenders from living in a residence with a dog.

Recently, a New York City detective searching a social club for four drug suspects surprised four other occupants--three Doberman pinschers and a German shepherd.<sup>55</sup> The shepherd attacked. The detective shot him twice at point-blank range, but the dog's gnashing jaws did not let up. Before the animal finally died, it had chewed the officer's thigh, forearm, and knee.

A Kansas officer who had to kill an attacking 130-pound rottweiler summarized the concerns: "A vicious dog doesn't really care about your command presence, your uniform, or often even your weapon." In fact, dogs are sometimes trained to attack at the sight of a firearm.

A dog's anatomy can offer strong resistance both to firearms and survival knives. The bony, sloping head may deflect or absorb rounds before they reach the brain. In a large dog, the carotid arteries are buried deep under muscle<sup>56</sup> and are hard to cut. The more easily reached jugular veins will not bleed out in time to prevent harm.

## Techniques for Avoiding Dog Bites<sup>57</sup>

- Recognize that any dog is a potential biter.
- Look for signs of a dog present before entering a yard or residence.
- Don't surprise a dog--avoid "sneak bites."
  - Whistle;
  - Tap on fence;
  - Call out.
- Approach techniques:
  - Take off sunglasses;
  - Stand still--let the dog approach;
  - Stand sideways;
  - Speak softly;
  - Don't stare at the dog;
  - Observe the dog's "body language."
- Protection techniques:
  - Don't turn your back on the dog;
  - If the dog acts threatening, command it in a firm voice to sit or stay;
  - If you have something in your hand, let the dog bite it rather than you;

- Don't run (unless you think you can beat the dog to the exit).
- **Defense against a dog attack:**
  - Maintain side position to the attack;
  - Yell--both to attract assistance and to startle the dog;
  - Shield neck and face with arm;
  - Extend arm as a target, retracting it at last possible moment when the dog is in the air;
  - Try to knee the dog in chest or deliver a hard kick;
  - Try to feed the dog a notebook or other article on which it can concentrate to buy time to escape;
  - Know the parts of a dog that are vulnerable to blows--nose, throat, rib cage.

## Resources

Corrections agencies should consider providing officers with training and information necessary to understand canine behavior and respond appropriately in case of an attack.

- **Law enforcement agency canine units** can provide information on handling dogs and may be willing to provide limited training.
- **Military K-9 units** can provide information on handling and training dogs.
- **Humane societies** usually provide information on handling dogs and offer obedience classes that can give some insight into dealing with potential dog attacks.

Several tactics are available for responding to an dog attack:

- **Defense tactics**--Since many community corrections officers do not carry sidearms, this option is probably the best.
- **Chemical deterrents**--Cap-Stun is the only OC product endorsed by the Criminal Law Committee of the U.S. Courts for probation officers' use on duty. Other companies claim their products are identical or better than Cap-Stun, but the FBI continues to approve Cap-Stun for its agents. Probation officers have reported only two uses of Cap-Stun in hazardous incident reports.<sup>58</sup> In both instances, it proved effective in deterring dog attacks.
- **Sidearms**--Despite the handicaps, a sidearm is ultimately the most effective defense in stopping an attack, especially at distances where OC spray is not effective. With large, savage dogs, multiple body shots may be required to be effective. When firearms are used, however, issues such as ricochet, trajectory, and penetration need to be considered.

Given the increased frequency of dog attacks, officers should receive information on handling dog attacks as part of a safety training program. Community corrections officers should, at a minimum, know how to work in support of a K-9 unit. Lack of familiarity and training can diminish the effective use of dogs in searches, as well as endanger the officer.

# CRITICAL INCIDENT PROGRAM

Corrections agencies are recognizing that involvement in work-related incidents can cause employees serious physical or emotional trauma. Deaths and serious assaults have prompted many community corrections agencies to institute post-trauma response or critical incident programs to minimize the effects of trauma by providing immediate intervention. Such programs also facilitate return to duty.

While many law enforcement agencies have established critical incident teams, some corrections agencies seem reluctant to do so. William H. Parsonage addressed this issue in 1989 when he found that "from an organizational perspective, some administrators have tended to downplay the extent to which worker safety issues present a serious problem. They fear that such attention might open a 'can of worms' relative to agency responsibility."<sup>59</sup>

In contrast, the authors have found that when critical incidents are addressed through a program aimed at dealing with the emotional effects of the trauma, victims and co-workers report that they dealt adequately with the issues although they were affected by the situation. The result is a quicker return to effective job performance.

## What is a Critical Incident?

The American Psychiatric Association defines a critical incident as "an event an individual has experienced that is outside the range of usual human experience, that would be markedly distressing to almost anyone. A critical incident is any situation that may cause participants to experience unusually strong emotional responses that have the potential to interfere with their ability to function, either at the scene or later, whether at work or away from work."

In corrections, certain traumatic events are referred to as critical incidents. Specific examples include:

- Use of force resulting in serious injury or death;
- Witnessing or being involved in any incident where serious injury or death occurs (e.g., to an employee, a visitor, or an offender);
- Sexual assault;
- Serious injury resulting from assault by an offender;
- Involvement in a shooting incident;
- Being taken hostage.

Law enforcement and corrections personnel are usually resilient. However, years of dealing with the darker side of life can have a cumulative stress effect.

Critical incidents are personal; that is, an incident that may be minor for one person may be critical for another. It is also important to understand the ripple effect of such events. People not directly involved with the incident may be affected (e.g., staff, family, and friends). One U.S. probation officer who wrestled a gun from an offender in his office and later received telephone threats at home related that his daughter suffered nightmares for some time after the incident.

## **Composition of a Critical Incident Program**

Because of the trauma that a critical incident causes, planning should take place before the incident happens. Many law enforcement agencies have critical incident programs and can offer assistance without cost to the community corrections agency.

The agency should develop a program that will:

- Provide training on critical incidents that includes an understanding of what they are, typical reactions, and an outline of the agency's critical incident program;
- Select officers to contact local critical incident programs and serve as agency resources or on a peer support team;
- Identify critical incident counseling professionals to whom staff can be referred in the event of a critical incident.

The agency or committee exploring resources for critical incident counseling should look to current employee assistance programs or to the department of labor serving the agency. Most larger law enforcement agencies have critical incident programs in place and will make debriefing teams available to corrections agencies. The institutions branch of many corrections departments also have developed critical incident programs.

A critical incident or post-trauma response program usually has four major components:

1. Trauma preparation, training, and education;
2. Peer support;
3. Debriefings;
4. Formal counseling.

### ***Trauma Preparation, Training, and Education***

The goal of trauma preparation, training, and education is to provide information so that long-term consequences, namely post-traumatic stress disorder (PTSD), will not occur. The goals of the training are to:

- Provide information on the nature and definition of duty-related trauma and the types of potentially critical incidents that can occur;

- Prepare personnel for normal psychological consequences of exposure to traumatic incidents (i.e., help staff understand that post-trauma feelings are normal);
- Teach basic recovery coping skills;
- Assist in creating a supportive environment throughout the organization;
- Describe the components, procedures, and regulations associated with the post-trauma program.

## *Peer Support*

The purpose of a peer support program is to ensure that each person involved in a potentially traumatic incident will receive the support and services necessary to recover successfully. Without individuals in the organization to monitor potentially traumatic incidents, some incidents will likely be overlooked. Agencies must realize that peer supporters are **not** counselors. Their tasks involve:

- Participating in ongoing peer support training,
- Representing the post-trauma program to other personnel,
- Providing outreach to personnel after potentially traumatic events,
- Reinforcing the use of productive coping skills taught in the training sessions,
- Assisting in determining the need for post-trauma services and making appropriate referrals,
- Helping mental health professionals by participating in debriefings in appropriate cases,
- Following up with each person through the recovery process.

Peer supporters must be carefully selected and trained. Those experienced in using peer supporters state that the most important criterion for selection is the ability to maintain confidentiality. Other important skills include communication, support skills, willingness to be involved with others in need, ability to learn specific interpersonal skills, patience, and the ability to follow through.

Peer supporters should be non-judgmental. Their role is to help the individual work through the stress and trauma of the incident, not to bring their own values and opinions to the situation. Peer supporters of different ranks should be involved to provide the individual a choice in selecting one. Other desirable skills include:

- Knowledge of stress and its effects, such as PTSD;
- Ability to work as a team member;
- Ability to project leadership, confidence, and comfort to others.

## *Debriefings*

Debriefings are carefully structured meetings held after the traumatic incident, either in a one-to-one situation or in small groups. They are **not** the same as an incident critique, which is a review of staff members' actions in a given circumstance. The critique team should evaluate performance and take corrective action as appropriate.

In an incident debriefing, the victim should have the opportunity to vent feelings related to the incident. A debriefing is not an investigation of motives and performance. The focus instead is on emotional and physical injuries or trauma suffered by those involved, and the goal is the prevention of long-term post-trauma consequences and the need for additional services.

The debriefing, part of a planned and coordinated program, should occur from one to four days after the incident; many advocate a debriefing within 24 hours of the incident, if possible. With proper prior training, those involved in a traumatic incident would anticipate the debriefing to occur immediately after the incident. Immediate intervention helps the individual cope emotionally with the traumatic event. The debriefing prevents, or at least significantly reduces, the potential to develop PTSD and reinforces an understanding and acceptance of the symptoms that normally follow a critical incident, helping the individual to deal effectively with them.

Formal debriefings should follow a critical incident for:

- Staff directly involved in the incident (many recommend that it be mandatory);
- Co-workers not directly involved in but affected by the incident;
- Spouses and family members of employees directly involved.

These groups should be debriefed separately, as their issues are different. A follow-up session should be scheduled approximately four weeks after the formal debriefing to assess the level of recovery and to discuss experiences since the original meeting.

### *Formal Counseling*

While the peer counseling group provides support, its goal is not to provide professional counseling. A professional counselor may come from the support group or may be a separate referral. The counselor should be familiar with the kind of work performed by those involved in the critical incident and emphasize coping skills designed to reduce the probability of long-term consequences. The counselor deals almost exclusively with the traumatic event and efforts toward recovery. Most cases involve only two or three counseling sessions.

### **Resources**

Dr. Roger Solomon is a nationally known author on critical incident stress and currently serves as the departmental psychologist for the Washington State Patrol. He also provides counseling services to the Bureau of Alcohol, Tobacco and Firearms and the U.S. Secret Service.

Contact: Roger M. Solomon, Ph.D.  
1405 Harrison Avenue, N.W., Suite 205  
Olympia, WA 98504  
(206) 586-8492

The International Association of Chiefs of Police produces training keys on various topics, including critical incidents. Request Training Key #399, *The Dynamics of Fear in Critical Incidents*.

Contact: International Association of Chiefs of Police  
1110 N. Glebe Road, Suite 200  
Arlington, VA 22201  
(703) 836-6767

Mark Maggio, a training specialist with the Federal Judicial Center, has worked in law enforcement and is a recognized authority in critical incident stress debriefing. He also works with the International Critical Stress Foundation hotline, which serves as a resource group and locates critical incident stress debriefing (CISD) teams for callers needing services.

Contact: Mark Maggio  
744 Evergreen Road  
Severn, MD 21144  
(410) 969-0524

Dr. Allen Ratcliffe works with local CISD teams and provides individual counseling. He has worked closely with both state and federal community corrections agencies. He also specializes in developing employee assistance programs.

Contact: Allen W. Ratcliffe, Ph.D.  
625 Commerce Street, Suite 240  
Tacoma, WA 98402  
(206) 627-7722

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