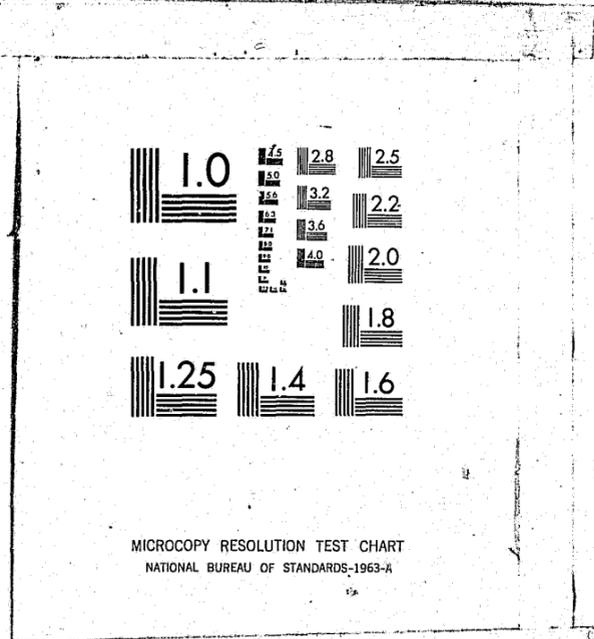


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PERSONNEL PRACTICES RELATIVE TO
THE RECRUITMENT AND RETENTION OF MINORITY CORRECTIONAL EMPLOYEES

BY

EUGENE BEARD

Prepared under Grant Number 75-NI-99-0023 from the National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, U.S. Department of Justice.

Points of view or opinions in this document are those of the author and do not necessarily represent the official position or policies of the Department of Justice.

PREFACE

In the last quarter of 1974, the Institute for Urban Affairs and Research of Howard University was awarded a grant for the purpose of identifying and examining factors which attract and retain minority employees in the correctional component of the criminal justice system. The study concentrated on minorities in the following groups: current and former correctional employees, inmates, and professional occupations with an investment in corrections.

Minorities were chosen as the study's focus of concern because of their over-representation in the inmate population and under-representation in the employee population. Many theoreticians believe the racial imbalance between inmates and staff, and differences in values, life styles, expectation, etc. render inmate rehabilitation highly probabilistic.

This report, the first of three volumes on the recruitment and retention of minority correctional employees, examines the policies and practices of six state-operated prisons as they related to the recruitment, screening, selection, promotion and retention of minorities. The second report looks at the projected number of minorities expected to be in certain corrections-related occupations from 1975-1980. The third analyzes minority employees' attitudes and perceptions as a means for designing and implementing recruitment and retention strategies.

ACKNOWLEDGEMENTS

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Dean of Criminal Justice, University of South Carolina, Columbia, South Carolina; and Mr. Eddie Harrison, Director, Baltimore Pretrial Intervention Project, Baltimore, Maryland.

Special thanks go to Mr. Lawrence Greenfeld, LEAA's Project Officer, and Ms. Cindy Sulton, the original project officer, for their understanding and guidance.

As is customary, the above named persons are absolved from any responsibility for errors and omissions in the study. These are reserved for the author.

Eugene Beard, Ph.D.
Project Director

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I. STUDY PURPOSE AND METHODOLOGY

I. STUDY PURPOSE AND METHODOLOGY

This study -- part of a larger study of minority employment and recruitment in selected state correctional systems -- was designed to examine the personnel policies and practices of these selected state correctional systems as they relate to the recruitment, screening, selection, promotion, and retention of minorities. Specifically, the study attempted to determine the extent to which these policies and practices facilitate affirmative action and promote equal employment opportunity. In addition, the study considered the relevance and potential of the Standards and Goals of the National Advisory Commission on Criminal Justice for helping to accomplish equal employment opportunity in correctional facilities across the nation.

A. Methodology

The larger study, of which this effort is a part, involves a survey and related research concerning minority recruitment and retention in state-operated correctional institutions, including an analysis of present conditions and projections into the future. Purposive sampling for the survey resulted in the selection of seven correctional facilities located in California, Louisiana, Michigan, Mississippi, New Jersey, and Ohio. An attempt was made to include each of the four census regions to make the sample representative if not provide generalizability.

This study's sample consisted of the Director of Personnel for the State Department of Corrections in each of the six

states in which the previously mentioned correctional facilities are located. A mail questionnaire was used to request information concerning personnel policies and practices affecting minorities, with focus on recruitment, screening, and selection of correctional officers, as well as retention rates and personnel evaluation and promotion policies. The questionnaire was modeled after the one developed by Eisenberg, Kent and Wall in Police Personnel Practices in State and Local Governments.¹

(A copy of the questionnaire is included in the Appendix.) Completed questionnaires were received from the Personnel Directors in four states: California, Michigan, Mississippi and Ohio.

B. Results

Results of the survey are presented in the following sections, which contain findings and implications related to:

- Level of Black Employment,
- Recruitment,
- Screening and Selection,
- Retention and Advancement.

In addition, conclusions and recommendations based on survey findings are presented.

C. Limitations

The data presented in this report are in one sense incomplete. Time-series employment data -- needed for evaluating the progress made by correctional system affirmative action efforts, as well as for determining the need for particular

¹Eisenberg, Terry; Kent, Deborah Ann; and Will, Charles R., Police Personnel Practices in State and Local Government. Washington, D.C. The Police Foundation, 1973.

kinds of affirmative action programs and emphases -- were largely unavailable. Although responding Personnel Directors reportedly spent an average of 8.5 hours in preparing their responses to the survey questionnaires, specific statistics on past and present minority recruitment, screening, employment, retention, and promotion experiences were largely unavailable.* This lack of data constrains not only this study but also the efforts of correctional systems to improve minority employment levels by making difficult or impossible a realistic assessment of the existing situation.

Because of data limitations, the minority employment statistics presented in this report are for Black employees only; information was not obtained concerning other minority groups.

*Only one state, Mississippi, indicated the existence of a regular report of this kind of information.

II. THE CURRENT LEVEL OF BLACK EMPLOYMENT

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The National Advisory Commission on Criminal Justice Standards and Goals called for concerted action to increase the level of minority employment in corrections.

In addition, the Commission proposed other standards related to issues which have been or will be subject to litigation. For example, one group of standards address issues related to the development of policies and procedures pertaining to the rights of individuals under the supervision of corrections to have access to the courts. A second set of standards focus on the conditions of correctional facilities and identifies the prisoner's rights to freedom from personal abuse and non-discriminatory treatment. A third set of standards apply to discretionary power which correctional institutions have over the offender. And, yet another set of standards center on the offender's first amendment rights of freedom of speech and association. The last set of standards look at the issue of equitable sentencing practices.

Table 1 shows the number and percent of Black employees within the four selected state correctional systems in 1974. The percentage of Black correctional personnel ranged from 8.6 percent in Ohio to 29.0 percent in Mississippi. It should be stressed that information was not obtained about the employment levels of Black personnel; thus it is not possible to discuss the relative salary rates of Black and white employees or the

Table 1

Present Level of Black Employment in Selected State Correctional Systems, 1974

BLACK EMPLOYMENT	STATE			
	California	Michigan	Ohio	Mississippi
<u>Black Males</u>				
Number	1,386	237	185	160
Percent of Total Employees	16.8	8.7	5.3	29.0
<u>Black Females</u>				
Number	384	61	117	9
Percent of Total Employees	4.7	2.2	3.3	.02
<u>All Blacks</u>				
Number	1,770	298	302	169
Percent of Total Employees	21.5	10.9	8.6	29.0

extent to which Blacks hold supervisory or professional positions. Nationally, Blacks are about 11.4 percent of the American population; they constitute 47 percent of the inmate population. In two of the four states surveyed, the percentage of Black employees in the correctional system was less than their percentage in the American population. Table 2 compares the percentage of Black correctional personnel with the percentage of Black residents of the four states, using 1973 population estimates. The table shows that in three of the four states, Blacks are underrepresented in corrections as compared with their population in the state; only in California is this not the case. Moreover, in none of the four states is the percent of Black correctional employees as high as the percent of Black inmates.

The underrepresentation of Blacks as correctional employees may be due to a combination of many factors, including:

- Lack of support for the Standards and Goals or other affirmative action efforts and equal employment opportunity goals at some or all levels of the correctional systems;
- Lack of effective affirmative action programs and personnel policies and practices to improve employment and retention of minorities;
- Present effects of past discrimination which continue to complicate efforts to achieve equal employment opportunity;
- Working conditions or other job factors which discourage minorities from desiring or seeking employment in these state correctional systems.

Some of the personnel policies and practices which may serve to encourage or discourage minority employment and retention in the selected state correctional systems are described and assessed in the following sections.

Table 2

Comparison of Percent of Black Correctional Employees
and Percent of Blacks in State Populations

PERCENT	STATE			
	California	Michigan	Ohio	Mississippi
Percent of Black Correctional Employees	21.5	10.9	8.6	29.0
Percent of Blacks in State*	7.5	13.7	9.4	36.0

*1973 population estimate, U.S. Bureau of the Census.

III. RECRUITMENT

III. RECRUITMENT.

If correctional systems hope to attract qualified minorities, they must make a special effort to overcome the present effects of past discrimination through active recruitment programs. What are these present effects of past discriminatory practices? They include a lack of role models for minorities among correctional employees; minorities are likely to have few family members, friends, or neighbors who work in corrections. Therefore, few minority group members are likely to hear of job openings by word-of-mouth or other informal recruitment methods. Moreover, because employment in corrections has not been readily accessible to minorities in the past, minority job seekers are likely to ignore correctional job opportunities unless special efforts are undertaken not only to announce available positions but also to stress affirmative action goals.

Both public and private employees concerned with attracting minority job applicants have been discovering in recent years that successful recruitment efforts must be directed towards minority audiences, not just the general community. As indicated in Table 3, the recruitment practices reported by three state correctional systems focus on general audiences, and lack emphasis on reaching minorities specifically. However, the three states do have some special recruitment practices designed to reach minorities. Table 4 indicates these special efforts,

Table 3

General Recruitment Practices

PRACTICES	California	Michigan	Ohio	Mississippi
1. Continuous announcements of exams	Yes	Yes	Yes	
2. Period between exams less than 4 weeks	Yes	No	Yes	
3. Want ads in local newspapers	Yes	Yes	Yes	
4. Special posters in public places	Yes	No	Yes	
5. Spot announcements on radio or TV	Yes	No	Yes	
6. Asking referrals from public employment services	Yes	No	Yes	
7. Asking referrals from labor/union organizations	No	No	Yes	
8. Asking referrals from political organizations	No	No	Yes	
9. Asking referrals from policy employees	No	No	No	
10. Asking referrals from community organizations	Yes	Yes	Yes	
11. Recruiting at schools or other educational institutions	Yes	Yes	Yes	
12. Recruiting at Army separation Center	Yes	No	Yes	
13. Using Operation Police Manpower Transition Programs	No	No	No	
14. Using mobile vans or similar devices	No	No	No	
15. Other	No	No	No	

*Mississippi did not respond to this question because it was not doing any recruitment; the State reported a large number of applications were on file.

Table 4

Special Minority Recruitment Practices

	California	Michigan	Ohio	Mississippi*
Special integrated recruiting teams	Yes	Yes	Yes	
Special trips to schools/colleges with large minority enrollments	Yes	Yes	Yes	
Visits to community centers	Yes	Yes	Yes	
Use of graduates of operation Police Manpower Transition Program	No	No	No	
Use of storefront centers in inner cities	No	No	No	
Advertisements in community-oriented news media	Yes	No	Yes	
Information officers after hours and on weekends for pre-examination counseling and training	Yes	No	Yes	
Using different selection procedures/standards	No	Yes**	No	

* No recruitment being done at present.

** "Late exams"

which include, in all three states, special integrated recruiting teams, trips to schools with large minority enrollments, and visits to community centers in minority communities. Two states, California and Ohio, also advertise for personnel in community-oriented news media, and make information officers available in the evenings and on weekends for counseling and pre-examination training in test-taking strategies. This can help minority applicants qualify for correctional jobs and also provide them with a realistic view of work in a correctional system. Michigan also waives the rule that employment tests be taken only at prescribed times.

None of the states surveyed reported minority recruitment approaches such as the use of storefront centers or mobile vans, or use of the graduates of the Operation Police Manpower Transition Program in recruiting.

The states surveyed generally have not been successful in recruiting enough minority applicants to meet affirmative action goals. The lack of success is probably due partly to inadequate minority recruitment efforts. For example, the systems might be more successful in attracting minority applicants if they:

- Involved neighborhood leaders and more community organizations in their recruitment efforts,
- Directed their short-term recruitment efforts at groups over 21, since the three states which are carrying out recruitment have a minimum age of 21 for correctional officers. This makes Career Day or other high school recruitment useful only as a long-term effort to interest youth in careers in corrections,

- Strengthened and expanded special orientation and test-simulation and preparation activities, since minorities and others from low-income backgrounds tend to be relatively ineffective test-takers,
- Provided special orientation and training to recruiters, to make them sensitive to minority concerns and familiarize them with approaches which other agencies have found to be efficient in reaching minorities.

It is likely that factors other than recruitment efforts also affect the success of these efforts. For example, because minorities did not until recently have access to most jobs in corrections, correctional careers were not seriously considered by most young minority group members. While correctional systems may now welcome minorities, the present effects of past discrimination may include:

- A lack of widespread awareness of the range of job opportunities in corrections;
- A continuing belief that minorities face discrimination in correctional employment;
- Personnel practices (involving screening, promotion, etc.) which may affect minorities unfavorably.

In addition, recruitment efforts -- like retention rates -- may be negatively affected by various job environment factors. For example, the following factors may discourage qualified minority group members from seeking jobs in corrections:

- The location of correctional institutions, often far from major urban areas and even from medium-sized cities;
- Low entry-level salaries;
- Perceived constraints to advancement;

- Long working hours;
- Limited training or advancement opportunities in many occupations;
- The highly structured, often "militaristic" nature of correctional institutions.

The entry-level salaries for correctional officers in the four state systems surveyed are shown in Table 5. Monthly salaries range from \$611.20 in Ohio to \$911.00 in California. These low salaries can be expected to discourage many potential applicants if other, better-paying jobs are available to them.

To the extent that minorities are aware of actual working conditions and promotion opportunities, negative factors may discourage them from applying for jobs in corrections. Such factors are likely to have a particularly significant effect on retention, however, and additional factors are identified in that section of the report.

Table 5

Entrance Level Salaries for Correctional Officers
in Selected State Correctional Systems, 1974

STATE	SALARY	
	Monthly	Annual
California	\$911.00	\$10,932.00
Michigan	\$809.10	\$ 9,709.20
Ohio	\$611.20	\$ 7,334.40
Mississippi	\$643.00	\$ 7,716.00

IV. SCREENING AND SELECTION

IV. SCREENING AND SELECTION

Like most public agencies, the state correctional systems surveyed have developed a complex set of screening procedures which are designed to make the employee selection process as nearly objective as possible. Moreover, these procedures are supposed to be uniformly applied. Unfortunately, many of these procedures as applied serve to discriminate against minority applicants. The subsections below describe the various screening practices of the four state correctional systems and specify those which limit minority access to jobs in corrections. The specific requirements studied are those stated for entry-level positions as correctional officers.

A. General Educational Requirements

Three of the states surveyed have general educational requirements for applicants for correctional officer jobs. Ohio requires only an eighth grade education. Applicants in Michigan, California, and Mississippi are required to have completed high school/GED. In addition, applicants are required to be interviewed by a board composed of members of the institution.

While low-level educational requirements are not likely to be a major exclusionary factor, general educational requirements have been held discriminatory in some court cases because there is no demonstrated relationship between a given amount of formal education and successful job performance. On the other hand, specified achievement levels, such as a given reading

comprehension level or ability to write sufficiently well to prepare required reports, can be appropriate requirements when they are job-related.

B. Written Tests

Three of the four states surveyed (all but Michigan) require correctional officer applicants to take a written test prepared by the State Personnel Board or Department. If these tests have been shown to be related to job performance -- if they have been "validated" for correctional officers -- then they are acceptable screening procedures. However, it appears that the skills and other characteristics of a "successful" correctional officer have never been identified with precision, and it is therefore unlikely that success on the test correlates highly with success on the job.

Non-job-related tests are a major factor working to exclude minorities from many kinds of jobs, for several reasons:

- Minorities tend to have less formal education and thus less experience with written tests than whites;
- Minorities may face psychological barriers to successful test-taking because of a history of discrimination and inferior social and economic status;
- Many tests contain deliberate or unconscious cultural biases which cause lower average scores for minorities.

In addition, tests can be used to deliberately exclude minorities, not only through biased questions but also by having minorities take the tests under uncomfortable or other unfavorable

conditions, or by not scheduling the test at times convenient for minority applicants.

In order to produce a test which can measure the knowledge and skills required for successful job performance, the correctional system needs to undertake job task analysis, identify job-related knowledges and skills, develop tests to measure these jobs and skills, and validate the tests by comparing the job performance of individuals who scored high on the tests and individuals who scored low. Validated tests of this kind can be considerably more helpful as a screening tool than educational requirements or standardized achievement tests. As the National Advisory Commission on Criminal Justice Standards and Goals has noted,

"... Many persons with less than a college education can be of special use in corrections, since they understand the problems of offenders, who are likewise without higher education."²

C. Oral Tests and Interviews

Oral tests or formal interviews for entry level corrections custodial personnel are required by all four of the states surveyed. These oral tests suffer from the same problems as written tests in terms of their lack of a demonstrated relationship to job performance. They also tend to be highly subjective and can readily be manipulated by the interviewer. While it

²National Advisory Commission on Criminal Justice Standards and Goals, Corrections Report, p. 472.

may seem reasonable to infer a relationship between an applicant's demonstration of poise, firmness, leadership, and skill in social interaction during an oral test and his or hers on-the-job performance in a custodial, counseling, or service role, the importance of such characteristics in determining job success has not been established. Moreover, the interview is an artificial situation, and generally does not even attempt to simulate the actual working environment. Actual employee performance during the probationary period is, of course, the oral test of ability to successfully carry out the responsibilities of the job.

D. Consideration of Applicants with Criminal Record

The National Advisory Commission on Criminal Justice Standards and Goals has predicted that:

"As participatory management of the correctional system becomes a reality, more offenders will find roles in corrections."³

Ex-offenders have a knowledge of corrections which may make them particularly valuable correctional employees. However, a major obstacle to the hiring of ex-offenders is the Civil Service limitation upon the hiring of convicted felons or even persons with arrest records, which exists in many states. Most states now distinguish between arrests and convictions; as Table 6 shows, of the four states surveyed, only Mississippi automatically disqualifies applicants with arrest records but not

³National Advisory Commission on Criminal Justice Standards and Goals, op. cit., p. 478.

Table 6

Tolerance of Arrest and Conviction Records
on Personnel Recruitment in Selected States*

	California	Michigan	Ohio	Mississippi
Traffic Violations Convictions	Yes	Yes	Yes	Yes
Arrest record for misdemeanors	Yes	Yes	Yes	Yes
Arrest record for felony	Yes	Yes	Yes	No
Conviction record for misdemeanor	Yes	Yes	No	No
Conviction record for felony	No	Yes	No	No

*Yes indicates that a person with such a record is accepted as a job applicant.
No indicates that a person with such a record is not accepted as a job applicant.

convictions. Two states, Mississippi and Ohio, disqualify applicants with misdemeanor convictions, and three of the four states (all but Michigan) disqualify persons with felony convictions. Thus felony ex-offenders cannot seek corrections jobs in three of the four states surveyed.

Disqualification of job applicants based on arrest records discriminates against minorities, since minorities are particularly likely to live in central cities and, more than whites, are more likely to have arrest records, particularly "suspicion" arrests. Fifty to 90 percent of the male residents of urban slums have an arrest record,⁴ and the likelihood of having been arrested is five times as high for Blacks over 18 as for whites over 18.⁵

Even in states where a distinction is made between arrests and convictions, arrest records may discourage minorities from applying for jobs in corrections. An effective program for minority recruitment, which includes a clear statement of state policy regarding the hiring of individuals with arrest or conviction records on job announcements and application forms, can help overcome this problem.

Changes in or exceptions to these regulations will be required if correctional agencies are to carry out the recommendations of the Joint Commission on Correctional Manpower and

⁴President's Commission on Law Enforcement and the Administration of Justice, The Challenge of Crime in a Free Society, Washington, D.C., Government Printing Office, 1967, p. 75.

⁵Ibid., p. 44.

Training by taking "immediate and affirmative action to recruit and employ qualified ex-offenders in correctional roles."⁶ The Joint Commission also indicated that:

"The fear of failure should not work as a discriminatory factor against the hiring of ex-offenders. In fact, the opposite is true. If meaningful job opportunities are to be made available to ex-offenders, the system's desire for success must be tempered by tolerance of a certain number of failures."⁷

Training programs are an important part of any program to employ ex-offenders, since they help maximize chances for success. Correctional administrators and the public must be willing to accept the risks in order to reap the benefits of utilizing ex-offender personnel in corrections jobs. The ability to recruit actively from the ex-offender population helps a state demonstrate the success of rehabilitation, and also serves as an example to other agencies which might provide job opportunities to ex-offenders. Thus current regulations -- usually state civil service requirements -- which limit or prevent the hiring of ex-offenders by correctional agencies need reconsideration and revision.

E. Background Investigations

None of the four states surveyed requires either polygraph tests or local personal references of correctional job applicants.

⁶Joint Commission on Correctional Manpower and Training, op. cit., Standard 14.4, p. 43.

⁷Ibid.

However, three of the states -- all except California -- require "background checks" on applicants. Details of the investigative process were not requested.

F. Physical and Health Requirements

All four states require medical examinations for correctional job applicants. Some observers believe that disqualification for hypertension is discriminatory, since a disproportionate number of Blacks suffer from high blood pressure. All four states disqualify applicants for hypertension.

Physical requirements for correctional job applicants vary. California and Ohio have a five-foot-eight inch minimum height requirement for male applicants, and Mississippi has a five-foot-one inch minimum height requirement. Three states (all but Mississippi) have weight and visual acuity requirements.

Such physical requirements could tend to discriminate against a particular racial or ethnic group; for example, if Asian-Americans tend to be short, height requirements may tend to exclude them. Such physical requirements should be eliminated unless a thorough review shows they have a specific relationship to job success.

G. Other Requirements

As determined by a supplementary questionnaire submitted to personnel specialists in the four state systems, a variety of other requirements -- some of them work-related, others not -- are used by the various states in the screening process. For

example, although community of residence is in no case a screening factor, Ohio hires only residents of the State. Mississippi requires U.S. citizenship. Table 7 summarizes non work-related eligibility requirements.

Every state identifies candidates by race on its application forms and records race on personal folders. Such race identification is in violation of federal civil rights legislation unless it is used for affirmative action and EEO reporting purposes.

Non work-related requirements by definition do not relate to projected job success. Thus they should be carefully reviewed for possible discriminatory effect -- and, in many cases, eliminated. The rationale behind each such requirement needs to be determined, and its legitimacy established if the requirement is to be maintained.

H. Selection Preferences

In the hiring of employees, the states surveyed identified the following areas of preference in selection:

- Veterans preference is given by all four states. Although its intent is to compensate veterans for their service to their country, such preference discriminates against women (whose numbers in the military service are limited by legislation). Federal veterans preferences are now being challenged in court.
- Three of the four states surveyed -- all but Michigan -- use some preference approach such as "exceptional appointments" to hire applicants who have special or critical skills such as bilingual competence.

Table 7

Non Work Related Eligibility Requirements

	California	Michigan	Ohio	Mississippi
Race Identification	Yes	Yes	Yes	Yes
Voter Registration	No	No	No	No
U.S. Citizenship	--	--	--	Yes
State of Residence	--	--	Yes	--

- In the correctional institutions surveyed, lateral entry, i.e., transfers from other merit system positions throughout the state bureaucracy, is restricted. There are requirements of no prior experience in corrections for entry from outside the correctional system. Although information covering this issue is incomplete, the available data suggests that lateral transfers are used by state workers as career building devices. Mississippi, for example, reports that more than seventy percent of its lateral transfers were promotions. Lateral entry can tend to perpetuate discrimination, however, if the state has few minority employees.

I. Selection Procedures

All four of the surveyed states use specific selection procedures which are designed to make the process "objective." Table 8 summarizes some of the devices used for ranking job applicants, once the ineligible and clearly unqualified have been eliminated. The validity -- and the potential for discrimination -- of each of these devices has already been discussed. The effect of these approaches often is a "subjective" selection process, open either to conscious subversion by an interviewer or reviewer of applications or to unconscious discriminatory effect because the procedures tend to exclude or eliminate minorities disproportionately.

State agencies may take a variety of actions to prevent the selection process from unfairly reducing the chances for minority hiring. Selection boards can take the place of individuals, with minority representation on such boards. Interviews can be taped for periodic review by key officials. Affirmative action plans may be developed, and EEO goals stressed in

Table 8

Devices Used in Ranking Candidates
in Preparation for Selection

DEVICE	STATE			
	California	Michigan	Ohio	Mississippi
Written Tests	Yes	No	Yes	No
Oral Interview/Exam	Yes	Yes*	Yes	Yes
Veterans Preference	Yes	No	Yes	Yes
Completed Job Application Form	No	No	Yes	No

*5 points, 10 points if disabled.

staff meetings and special training sessions. Perhaps the single most useful tool for identifying minority recruitment and selection problems -- so that appropriate remedies may be sought -- is the keeping of time-series records which describe applicants by race and sex. These records should show recruiting contacts and applicants, permitting consideration of test scores, rankings, number hired, reasons for non-selection, etc. Thus they can be used to pinpoint the causes of weaknesses or failure in minority recruitment and hiring efforts.

V. EMPLOYEE RETENTION AND ADVANCEMENT

V. EMPLOYEE RETENTION AND ADVANCEMENT

Recruitment and selection policies and procedures help determine who becomes a correctional system employee. Policies regarding probationary periods, evaluations, training, and advancement opportunities -- as well as general working conditions -- help determine which employees remain within correctional systems and advance to positions of authority. The subsections below present turnover and retention rates for the four state correctional systems surveyed and examine state policies and experiences regarding probation, employee evaluation, and promotion.

A. Employee Turnover and Retention

Table 9 shows rates of correctional officer turnover for the four state correctional systems. Turnover is very high in all four systems, ranging from 24 percent in Ohio to 34 percent in California. The turnover rate for other categories of employment, particularly professional categories, may be much lower, but these figures indicate major employee retention problems regarding correctional officers in all four states.

The turnover rates in Table 9 generally do not reflect reduction-in-force procedures, as shown by the percentage differentials in that table. In every case, more correctional officers were hired during the year than left employment.

What factors contribute to this extremely high turnover?

Table 9

Employee Turnover in Selected State Correctional Institutions, 1974*

	California	Michigan	Ohio	Mississippi
Number of full-time employees	315	1,037	331	534
Number leaving employment	106	137	78	286
Number hired	144	152	86	378
Percent leaving	34%	13%	24%	54%
Percentage difference between those leaving and those hired**	+12%	+0.02%	+0.02%	+17%

*Turnover shown is for correctional officers

**Positive differential indicates more employees hired than leaving.

Low pay, already mentioned as a negative recruitment factor, is one probable cause. Persons may take jobs as correctional officers because no better-paying position is available, then leave as soon as a higher-salary job becomes available.

Working conditions may also contribute to turnover; other parts of this research effort have suggested their importance in recruitment and retention of not only correctional officers but professional employees. Other important factors include reasonable hours and workloads, fringe benefits, in-service training and educational opportunities, and recognition for good performance. In addition, advancement opportunities are likely to affect turnover -- for minorities as well as other employees.

As the Joint Commission on Correctional Manpower and Training indicated,

"To a great extent the ability of corrections to attract and keep competent personnel will depend upon the employee's perception of his potential for self-fulfillment."⁸

Correctional systems with high turnover among particular categories of personnel -- or employees of particular racial or ethnic groups -- should carefully assess job slots in terms of the working environment, material benefits, and non-material benefits -- which constitute the "potential for self-fulfillment."

⁸Joint Commission on Correctional Manpower and Training, op. cit., p. 15.

Changes must often be made in non-monetary factors in order to increase employee retention.

B. Probationary Periods

All four states reported the use of a probationary period for new employees, with varying lengths of from three to nine months. The length of the probationary periods were as follows: California, nine months; Michigan, six months; Mississippi, six months; and Ohio, three months.

The states estimate that they lose only two percent or less of new employees during the probationary period; however, as Table 9 showed, correctional officers do have high turnover rates. No breakdowns or terminations by race or sex were available.

The data suggest that the probationary period is more of a formality than a real period for determining whether the employee can succeed in the job. It is possible that the testing, screening and selection processes used by the correctional systems successfully identify suitable incumbents for vacant positions. Alternatively, it is possible that the determinations made by these processes are largely irrelevant and that almost anyone who presents him/herself for employment can perform the duties. If involuntary termination rates during the probationary period are extremely low because the jobs involved do not require extensive skills, then perhaps the screening and selection procedures used are unnecessarily complex and costly, and should

be simplified. On the other hand, perhaps the probationary period is not adequately used as a time for eliminating personnel who perform poorly. This situation deserves careful review by correctional officers.

C. Performance Appraisals

Evaluations of employee performance by supervisors is one important basis for job retention and advancement within correctional systems. Table 10 shows possible uses of performance appraisals by the four state correctional systems. As the table shows, these personnel assessments not only may help determine whether salary increases or promotions are received, but also may affect assignments or help determine transfers. In all four states, negative performance appraisals may be used as a basis for recommending counseling or for employee dismissal.

The four states report that their employees are permitted to see their appraisals and to discuss them with the reviewing official. Employees are required to sign their evaluations.

Although standards of performance are important, explicit and fair standards of performance are not always easy to develop. Everyone who directs the work of employees within the correctional system uses some frame of reference for judging whether the work of the employees is satisfactory. In certain instances, these standards are highly explicit; in other cases, the person making the judgements cannot enunciate clearly the basis for his evaluations. The use of guidelines for judging performance and

Table 10

Possible Uses of the Personnel Performance Appraisals
in Selected State Correctional Systems in 1974

	California	Michigan	Ohio	Mississippi
Salary increases	Yes	Yes	No	Yes
Promotions	No	No	Yes	Yes
Discipline	No	No	No	No
Assignment/transfer	Yes	No	No	Yes
Dismissal	No	Yes	Yes	Yes
Counseling	Yes	Yes	Yes	Yes
Other	No	No	Yes*	No

*Lay-off

standards should be a matter of record within the correctional system, if the system is to guard against discrimination in performance appraisals.

D. Promotion

The four states surveyed report diversified procedures designed to make employee promotional policies fair and objective. Table 11 summarizes the standards reportedly used by the states' correctional officials for employee promotion. The most-often used factors for promotion include oral and written examinations, in-service training (used by all four states), supervisor's evaluation of performance in present position, seniority within a given rank, length of service in the department, education, and supervisor's evaluation of promotion potential (used by three states).

Several of these promotion considerations serve to discourage the promotion of minority personnel. The discriminatory effects of oral and written tests were described in the Employee Screening and Selection section of this report. Another potentially discriminatory factor is seniority.

Seniority as a criteria for promotion becomes discriminatory when hiring practices have been racially "skewed" over time. Minorities tend to have been hired recently, so they have less seniority than employees hired during the years when minorities were excluded or discouraged. Seniority is a major issue not only in promotion but also if a reduction in force becomes necessary.

Table 11

Promotional Standards for Correctional Officers in Selected State Correctional Systems in 1974

	California	Michigan	Ohio	Mississippi
Supervisor's evaluation of performance in present position	3		3	2
Veterans preference	2			2
Seniority within a given rank	1	3	3	
Written examination	3	3	3	1
Oral examination	3	3	3	3
Length of service in the department	3	3		1
Awards or commendations	3			2
Peer evaluation	3			
Education	1	1		2
Supervisor's evaluation of promotion potential	3	3		3
In-service training	3	1	3	2

Key: 1 - Used to meet eligibility requirement for promotion.
 2 - Used to provide extra points towards promotion.
 3 - Used to rank employees for promotion.

There are several ways to overcome the present effects of past discrimination as exemplified by seniority. One is to minimize the use of seniority as a promotional factor. Another possible solution is "indexing", which involves transforming the years of the seniority scale of minority groups so as to render them equivalent to white groups. This can be accomplished by computing a "discrimination factor", which would involve dividing the number of months or years of service of the ranking minority employee by the number of months or years of service of employees with the longest service record of each minority. The discrimination factor for each group is multiplied by the number of actual years or months of each employee, creating a seniority index. The seniority index functions as a ranking of each employee for any purpose for which seniority is normally used. Indexing strategies distribute lay-off vulnerability and seniority fairly, taking into account the discriminatory hiring practices of the past.

E. Retention and Advancement Needs

A re-examination of retention and promotion policies and advancement opportunities is needed within correctional agencies in order to create a positive organizational climate for all employees, including minorities, and to eliminate causes of employee dissatisfaction and turnover, thus improving retention of capable staff of all races. In the long term, policies such as the following should be developed and implemented:

1. Salaries for all personnel that are competitive with other parts of the criminal justice system, as well as with comparable occupation groups of the private sector of the local economy.
2. Opportunities for staff advancement within the system. The system should also provide opportunities for promotional mobility within jurisdictions and across jurisdictional lines.
3. Elimination of excessive and unnecessary paperwork and chains of command that are too rigidly structured and bureaucratic in function, with the objective of facilitating communication and decision-making so as to encourage innovation and initiative.
4. Appropriate recognition for successful job performance.
5. Workload distribution and schedules based on flexible staffing arrangements. Size of workload should be only one determinant. Also included should be nature of cases, team assignments, and the need of the offenders and the community.
6. Attractive benefits, such as a criminal justice career pension system to include investment in an annuity and equity system for each correctional worker. The system could permit movement within elements of the criminal justice system and from one corrections agency to another without loss of benefits.
7. Eligibility for career advancement for all individuals who can demonstrate the ability to perform at the required level, through use of alternative qualifications for advancement rather than strict educational requirements. Equal employment opportunity must include equal opportunity for advancement.

VI. CONCLUSIONS AND RECOMMENDATIONS

VI. CONCLUSIONS AND RECOMMENDATIONS

A. Conclusions

The findings of this study -- based on a survey of four state correctional systems -- support the conclusion that the standards and goals for minority recruitment in state correctional institutions, as specified by the National Advisory Commission on Criminal Justice Standards and Goals in Corrections, are not being met. Moreover, the present recruitment, selection, and retention policies of state correctional agencies offer little hope of major improvements in the near future.

Specifically,

- Although minority recruitment programs exist, they have had limited success.
- Employee screening and selection procedures now in use tend to perpetuate the present efforts of past discrimination, rather than helping to overcome them.
- Promotion procedures reflect many of the same biases as screening procedures, and serve to perpetuate discriminatory effects.
- High turnover rates for correctional officers suggest that correctional employment policies and practices are inadequate not only for the recruitment and retention of qualified minority personnel, but also in the recruitment and retention of qualified white personnel. The entire system requires review and revision.
- Correctional agencies do not keep the kinds of time-series records needed to identify and document problems in minority recruitment, employment, retention, and promotion. Without such information, the specific remedial action required is difficult to determine.

- Overall, present personnel policies and practices do not provide for the best possible provision of correctional services and do not permit the full use of the potential of minority personnel to meet correctional system needs.

B. Recommendations

Specific recommendations have been made in previous sections concerning how correctional systems can begin to improve their ability to recruit and retain qualified minority personnel. In general terms, affirmative action in corrections requires a strong leadership role by correctional administrators at the state level -- to assure that policies, practices, and attitudes are substantially changed and a workable program developed -- and at both the state and facility levels -- to see that policies and programs are implemented.

There are three possible routes to the implementation of an effective and consistent affirmative action program in corrections.

- Use of measures designed to help minorities advance within the current framework of correctional agencies hiring policies and job structures;
- Use of measures designed to help correctional agencies change that existing framework; and
- Use of measures designed to help various areas of correctional services re-evaluate the total framework of their utilization of existing minority manpower.

Based on the survey conducted for this study, it appears that the latter two approaches are necessary for long-term progress, with the first approach useful only as an interim measure.

Improved personnel policies and practices must be developed, and minority personnel must be better utilized.

In order to meet these requirements, a variety of major review and development efforts will be required. The following actions are specifically recommended:

1. Fundamental changes must be made in personnel policies, practices and procedures. Irrelevant requirements for education, work experience or personal characteristics should be eliminated. Promotion should be based on skills and knowledge acquired through work experiences and on-the-job training, wherever possible. A "hire now, train later" policy is recommended. Above all, civil service job classifications need to be re-examined to remove inflexibilities, recognize the special barriers facing employees from minority groups, and incorporate paraprofessional tasks and structures.
2. Some present personnel practices should be immediately discontinued or modified. Specifically, (a) eliminate the arrest and/or conviction disqualification in favor of personalized selection; (b) eliminate oral tests in favor of multiple personalized interview procedures that would allow for evaluation of interpersonal skills and group interaction strengths; and (c) re-examine and revise or remove non work-related requirements that are unrelated to job performance.
3. Correctional agencies employing minorities should be required to establish continuous career ladders from the entry level through higher level jobs requiring additional skills. To establish these career ladders, correctional institutions need to conduct functional task analyses for all levels of jobs, including those now performed by professionals, in order to define and restructure jobs, identify knowledges and skills needed to perform them, and articulate specific qualifications for employment and promotion.
4. Correctional institutions should use the probationary period for in-service training opportunities to improve skills and build psychological support systems that will improve retention and increase the the likelihood of promotion.

5. A central career counseling service for potential and present minority correctional personnel should be established. Its goal should be to help minority correctional personnel develop and carry out both short- and long-range plans for advancement.
6. Skill training for minority correctional personnel, both classroom and on-the-job, should be extended. Such training should emphasize "generalist" skills, and it should be not only to improve the performance of minority personnel in their current jobs but also to equip them to perform at the next higher level.
7. The Federal government should subsidize salaries over a limited period of years, and in diminishing amounts, to bring correctional salaries to a level of parity with those of other public servants such as firemen and police officers.
8. States should be encouraged to establish goals for minority hiring that would raise the level of minority employees to that for minority inmates of the system. These goals should include firm time frames.
9. Further documentation of the findings of this report is needed by replicating the study on a sample of no less than one hundred correctional institutions.

These recommended actions constitute the difficult initial steps toward the development of workable employment policies and procedures which eventually -- once fully implemented -- can make equal employment opportunity in corrections a reality.

APPENDIX
QUESTIONNAIRE

SURVEY OF
CORRECTIONAL PERSONNEL PRACTICES
IN SELECTED STATE GOVERNMENTS

This study is being conducted by the Howard University Institute for Urban Affairs and Research under a United States Department of Justice Law Enforcement Assistance Administration grant 75NI-99-0023 Recruitment and Retention of Minority (Institutional) Correctional Employees. Please answer all questions completely and return as soon as possible. A self-addressed prepaid envelope is enclosed for your convenience.

All information will be held in strict confidence.

Thank you for your cooperation.

I. IDENTIFICATION
(Please print or type.)

Name of your state: _____

Address: _____

(city/town) (state) (zip code)

Your name: _____ Your title: _____
(person completing questionnaire)

Name of your institution: _____ Your phone: _____

Address of your office: _____

(city/town) (state) (county) (zip code)

II. NUMBER OF EMPLOYEES

1. What is the total number of authorized correctional* positions in your institution as of December, 1974?

(Include both male and female.) Total #: _____

2. How many of these positions are currently vacant?

Number of positions vacant: _____

3. How many employees are presently working within your correctional institution as of December, 1974? (Please give the exact number for each category if possible.)

	TOTAL EMPLOYEES		SWORN EMPLOYEES		NONSWORN EMPLOYEES	
	Male	Female	Male	Female	Male	Female
Full-time	_____	_____	_____	_____	_____	_____
Part-time	_____	_____	_____	_____	_____	_____
Provisional or temporary	_____	_____	_____	_____	_____	_____

*Correctional positions are defined as both custody officers and treatment officers, but not maintenance, secretarial, civilian food service, or industry personnel.

4. During the past 12 months, ending December 1974, a) how many sworn correctional personnel have left your institution, and b) how many sworn correctional personnel were hired? (Include both male and female.)

a) Number who left this institution: _____

b) Number who were hired by this institution: _____

5. What is the monthly starting salary for new correctional officers in your institution?

Monthly starting salary: \$ _____

III. CIVIL SERVICE/MERIT SYSTEM

6. a) Are sworn correctional personnel in your institution under a civil service merit system? (Check only one.)

_____ Yes (all ranks).

_____ Partly (some ranks). (Please explain.) _____

_____ No (Skip to Question 6c.)

b) If "yes" or "partly" answered in a), is it the same civil service merit system as for most other public employees in your state?

_____ Yes

_____ No

c) If "no" answered in a), please describe the type of system used.

7. a) Are nonsworn correctional personnel under a civil service merit system? (Check only one.)

Yes (all positions).

_____ Partly (some positions). (Please explain.) _____

_____ No (Skip to Question 7c.)

b) If "yes" or "partly" answered in a), is it the same civil service merit system as for most other public employees in your state?

_____ Yes

_____ No

c) If "no" answered in a), please describe the type of system used.

Function Not Performed	Corrections Department Personnel Office			
	Institution Personnel Officer	Corrections Department	Civil Service Commission/Central Personnel Office	Personnel Office & State Civil Service Commission
Preparing job specifications and/or position descriptions	_____	_____	_____	_____
Developing pay schedules	_____	_____	_____	_____
Conducting recruitment programs	_____	_____	_____	_____
Conducting psychiatric or psychological appraisals	_____	_____	_____	_____
Screening applications and/or applicants for eligibility before written tests	_____	_____	_____	_____
Administering and scoring written tests	_____	_____	_____	_____
Determining minimum acceptable test scores	_____	_____	_____	_____
Deciding appeals to written test scores	_____	_____	_____	_____
Determining the eligibility of candidates after written tests	_____	_____	_____	_____
Certifying eligible candidates for appointment	_____	_____	_____	_____
Conducting oral interviews	_____	_____	_____	_____
Conducting medical exams	_____	_____	_____	_____
Conducting physical agility tests	_____	_____	_____	_____
Conducting background investigations	_____	_____	_____	_____

IV. CORRECTIONAL PERSONNEL RESPONSIBILITIES AND FUNCTIONS

9. a) Does your correctional institution have a Personnel Office separate and distinct from the central office or Civil Service Commission?

_____ Yes

_____ No (Skip to Question 10.)

b) If "yes," how many are employed in the Correctional Personnel Office?

Number of sworn correctional employees: _____

Number of nonsworn correctional employees: _____

Other (Specify): _____

10. Listed below are the various personnel functions performed for personnel staff. Please CHECK each function which is performed

- a) primarily by the Institution Personnel Officer.
- b) by the Corrections Department.
- c) primarily by the Civil Service Commission/Central Personnel Office.
- d) by both the Corrections Department Personnel Office and State Civil Service Commission.
- e) The function is not performed.

(Check one in each row)

Function Not Performed	Corrections Department Personnel Office			
	Institution Personnel Officer	Corrections Department	Civil Service Commission/Central Personnel Office	Personnel Office & State Civil Service Commission
Establishing entrance qualification standards for applicants	_____	_____	_____	_____
Preparing examination announcements	_____	_____	_____	_____
Constructing written test examinations	_____	_____	_____	_____
Purchasing selection tests	_____	_____	_____	_____
Determining relatedness of examinations and other selection processes to job performance	_____	_____	_____	_____
Conducting job or task analysis	_____	_____	_____	_____

	Institution Personnel Officer	Corrections Department	Civil Service Commission/ Central Personnel Office	Corrections Department Personnel Office & State Civil Service Commission	Function Not Performed
Evaluating results of background investigations	_____	_____	_____	_____	_____
Conducting polygraph examinations	_____	_____	_____	_____	_____
Developing promotion standards	_____	_____	_____	_____	_____
Giving written promotion examinations	_____	_____	_____	_____	_____
Planning and conducting training programs	_____	_____	_____	_____	_____
Operating the grievance & appeal system	_____	_____	_____	_____	_____
Engaging in collective bargaining with unions and/or employee organizations	_____	_____	_____	_____	_____
Administering a retirement system	_____	_____	_____	_____	_____
Administering an employee benefit system such as group health, group life, etc.	_____	_____	_____	_____	_____

If your correctional personnel office at institution or central office performs functions in addition to the ones included above, please describe them:

For what functions are outside personnel consultants utilized, if any?

V. RECRUITMENT AT THE ENTRANCE LEVEL

11. Among the recruitment practices listed below, please check all the ones used by your department for a) male correctional positions and b) female correctional positions.

(Check all that apply.)

	Male Sworn Positions	Female Sworn Positions
Using continuous examination announcements	_____	_____
Issuing examination announcements on a periodic basis with filing periods of more than four weeks	_____	_____
Placing want-ads in the local newspapers	_____	_____
Using special posters in public places such as libraries, buses, etc.	_____	_____
Placing spot announcements on radio and TV	_____	_____
Asking for referrals from public employment services	_____	_____
Asking for referrals from labor/union organizations	_____	_____
Asking for referrals from political organizations	_____	_____
Asking for referrals from police employees	_____	_____
Asking for referrals from community organizations	_____	_____
Recruiting at schools and other educational organizations	_____	_____
Recruiting at Army separation centers	_____	_____
Use of the Operation Police Manpower Transition Program	_____	_____
Using mobile vans or similar devices	_____	_____
Other (Describe). Male: _____		
Other (Describe). Female: _____		

VI. SELECTION REQUIREMENTS AT THE ENTRANCE LEVEL

12. What is the minimum educational requirement for employment of a) male correctional officer and for b) female correctional officer in your department? (Check only one in each column.)

	Male Sworn Personnel	Female Sworn Personnel
No formal educational requirements	_____	_____
Completion of 8th grade	_____	_____
Completion of 10th grade	_____	_____
High school diploma or equivalency certificate	_____	_____
High school diploma only	_____	_____
Some college up to one year	_____	_____
Associate Degree (two years college)	_____	_____
Bachelor's Degree (If a specific field, specify.)	Male: _____ Female: _____	_____
Graduate Degree (If a specific field, specify.)	Male: _____ Female: _____	_____

13. a) What are the physical requirements prior to employment of male correctional personnel? (Check all that apply.)

- _____ Age (Minimum _____ Maximum _____)
- _____ Height (Minimum _____ Maximum _____)
- _____ Weight (Minimum _____ Maximum _____)
- _____ Vision (color)
- _____ Vision (Acuity - Minimum corrected _____ Minimum uncorrected _____)
- _____ Ability to swim (Specify) _____
- _____ Medical examination (If possible, please attach a description of the medical standards.)
- _____ Physical agility (If possible, please attach a description of the physical agility standards.)

_____ Other (Please describe) _____

b) What are the physical requirements prior to employment of female correctional personnel? (Check all that apply.)

- _____ Age (Minimum _____ Maximum _____)
- _____ Height (Minimum _____ Maximum _____)
- _____ Weight (Minimum _____ Maximum _____)
- _____ Vision (color)
- _____ Vision (Acuity - Minimum corrected _____ Minimum uncorrected _____)
- _____ Ability to swim (Specify) _____
- _____ Medical examination (If possible, please attach a description of the medical standards.)
- _____ Physical agility (If possible, please attach a description of the physical agility standards.)
- _____ Other (Please describe) _____

14. What are the aptitude and character requirements for employment of a) male personnel and for b) female personnel? (Check all that apply.)

	Male Sworn Personnel	Female Sworn Personnel
Written test	_____	_____
Title or name and publisher of test(s) _____		
(Examples: Public Personnel Assoc. Test, Civil Service, etc.)		
Polygraph examination	_____	_____
Clinical interview by psychologist or psychiatrist	_____	_____
Oral interview	_____	_____
Background investigation	_____	_____
Other (Specify). Male: _____	_____	_____
Other (Specify). Female: _____	_____	_____

15. What other requirements exist for employment of a) male personnel and for b) female personnel? (Check all that apply.)

	Male Sworn Personnel	Female Sworn Personnel
Pre-employment residence requirements for males	_____	_____
Local _____ State _____ Number of months _____		
Pre-employment residence requirements for females		_____
Local _____ State _____ Number of months _____		
Post-employment residence requirements for males	_____	
Local _____ State _____ Number of months _____		
Post-employment residence requirements for females		_____
Local _____ State _____ Number of months _____		
Voter registration requirement	_____	_____
U. S. Citizenship	_____	_____
Driver's license	_____	_____
Others (Please specify) _____	_____	_____
_____	_____	_____
_____	_____	_____

16. a) Do your personnel policies, laws, or regulations provide for veteran's preference in initial appointments?

- Yes
 No (Skip to Question 17)

b) If "yes," is this preference absolute (i.e., placed at top of list)?

- Yes
 No

17. Do your personnel policies, laws, or regulations allow for some form of preference to applicants who have a special or critical skill (e.g., bilingualism)?

- Yes (Specify) _____
 No

18. Please indicate which of the arrest and conviction conditions listed below for a) adults and b) juveniles are acceptable for applicants to correctional positions. (Check all that apply.)

	Adult	Juvenile
Moving traffic violation conviction	_____	_____
Arrest record for misdemeanor	_____	_____
Arrest record for felony	_____	_____
Conviction record for misdemeanor	_____	_____
Conviction record for felony	_____	_____

19. a) Which of the following statements best describes your state's method for making selections to entry positions from among qualified candidates for correctional personnel? (Check one only.)

- The highest ranking applicant who is available for appointment must be selected.
 Any applicant who is ranked among the top three of these available for appointment may be selected (i.e., rule of five).
 Any applicant in the highest category of a category rating system (e.g., best qualified, qualified, etc.) may be selected.
 Other (Please describe) _____

b) Which of the following factors are utilized in ranking qualified candidates for entrance eligibility? (Check all that apply.)

- Written tests
 Oral interview/exam
 Veteran's preference (No. of points or percentage: _____)

Disabled _____
 Nondisabled _____

____ Date of application
____ Other (Please specify) _____

20. a) Is successful completion of recruit training required prior to being appointed to your department as a correctional officer?
 ____ Yes
 ____ No
- b) Is successful completion of the probationary period required prior to being appointed to your department as a correctional officer?
 ____ Yes
 ____ No
- c) How long is the probationary period for recruit or new correctional officers?
 ____ No probationary period (Skip to Question 21.)
 ____ 6 months
 ____ 12 months
 ____ 18 months
 ____ Other (Please specify) _____
- d) During the past 12 months, as of the end of last month, what was the number and percent of recruit officers who did not successfully complete their required probationary period?
- Number of voluntary terminations ____ Percent of total recruits ____ %
 Number of involuntary terminations ____ Percent of total recruits ____ %
 Total number of terminations ____ Percent of total recruits ____ %

VII. LATERAL ENTRY/TRANSFER

21. a) Can your department accept people from other correctional departments or similar agencies with experience for same rank correctional positions?
 Yes
 ____ No (Skip to Question 22.)

- b) If "yes" in a), have you accepted any within the past 12 months?
 ____ Yes (total number ____)
 ____ No (Skip to Question 22.)

- c) If "yes" in b), please indicate the number accepted at each rank listed below within the past 12 months. (Include both male and female.)

	Number		Number
Correctional Officer	_____	Lieutenant	_____
Corporal	_____	Captain	_____
Sergeant	_____	Major	_____
Social Worker	_____	Warden	_____
Counselor	_____	Psychologist	_____
Nurse	_____	Physician	_____
Dentist	_____	Teacher	_____
Principal	_____	Chaplain	_____
Librarian	_____		
Other	_____		

(Please specify.) _____

- d) If "yes" in b), what number of these people were accepted under each of the following conditions?

Number

____ Accepted for ranks equal in responsibility to those they left
 ____ Accepted for ranks lower in responsibility than those they left
 ____ Accepted for ranks greater in responsibility than those they left

e) If "yes" in b), were these people accepted by meeting qualifications equal to those required of members of your department?

_____ Yes

_____ No (Please specify how requirements differed.) _____

22. a) Can your department accept people from other departments or similar agencies without correctional experience for correctional positions?

_____ Yes

_____ No (Skip to Question 23.)

b) If "yes" in a), have you accepted any within the past 12 months?

_____ Yes (total number _____)

_____ No (Skip to Question 23.)

c) If "yes" in b), please indicate the number accepted at each rank listed below within the past 12 months. (Include both male and female.)

	Number		Number
Correctional Officer	_____	Social Worker	_____
Corporal	_____	Counselor	_____
Sergeant	_____	Psychologist	_____
Lieutenant	_____	Nurse	_____
Captain	_____	Physician	_____
Major	_____	Dentist	_____
Warden	_____	Teacher	_____
Chaplain	_____	Principal	_____
Librarian	_____		
Other	_____		

(Please specify.) _____

d) If "yes" in b), what number of these people were accepted under each of the following conditions?

Number

_____ Accepted for ranks equal in responsibility to these they left.

_____ Accepted for ranks lower in responsibility than those they left.

_____ Accepted for ranks greater in responsibility than those they left.

e) If "yes" in b), were these people accepted by meeting qualifications equal to those required of members of your department?

_____ Yes

_____ No (Please specify how requirements differed.) _____

25. a) Can your department accept people without prior experience for correctional positions?

_____ Yes

_____ No (Skip to Question 26.)

b) If "yes" in a), have you accepted any within the past 12 months?

_____ Yes (Total number _____)

_____ No (Skip to Question 26.)

c) If "yes" in b), please indicate the number accepted at each rank listed below within the past 12 months. (Include both male and female.)

	Number		Number
Correctional Officer	_____	Social worker	_____
Corporal	_____	Counselor	_____
Sergeant	_____	Psychologist	_____
Lieutenant	_____	Nurse	_____
Captain	_____	Physician	_____
Major	_____	Dentist	_____
Warden	_____	Teacher	_____
Chaplain	_____	Principal	_____
Librarian	_____		

25. c) continued...

Number

Other _____

(Please specify.) _____

d) If "yes" in b), what number of these people were accepted under each of the following conditions?

Number

_____ Accepted for ranks equal in responsibility to those they left.

_____ Accepted for ranks lower in responsibility than those they left.

_____ Accepted for ranks greater in responsibility than those they left.

e) If "yes" in b), were these people accepted by meeting qualifications equal to those required of members of your department?

_____ Yes

_____ No (Please specify how requirements differed.) _____

27. If you indicated in the previous questions (Questions 21 through 26) that your department cannot accept people from other departments or similar agencies under any or all of the conditions given, then what is (re) the primary reason(s)? (Check all that apply.)

- _____ May not be considered due to legal restrictions.
- _____ We have tried it, and it didn't work.
- _____ We have not found any personnel from other departments or agencies who meet our requirements.
- _____ We have no need to look for personnel from outside our department to fill manpower needs.
- _____ It wouldn't work with our present pension system.
- _____ Other (Please specify) _____

28. If legal restrictions are indicated in Question 27, what is the source of these restrictions? (Check all that apply.)

- _____ Civil Service Commission or personnel board regulations
- _____ Departmental policy
- _____ State law
- _____ Other (Please specify.) _____

29. If legal restrictions are indicated in Question 27, what is their content? (Please cite the specific section of the code/charter/law, etc., which forbids hiring from other correctional departments.)

30. What legal restrictions exist in your department concerning various phases of the selection process in general, and what is the source of these restrictions?

SOURCE	CONTENT
Example: State law	Example: Sets minimum age, demands U.S. citizenship, prohibits use of oral board, etc.
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

31. What legal restrictions exist in your department concerning various phases of the promotional process in general, and what is the source of these restrictions?

SOURCE	CONTENT
Example: Civil Serv. Comm.	Example: Minimum of 5 years in grade, requires college credits, etc.
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

VIII. PROMOTION

32. Which of these statements best describes your department's promotion program as it relates to correctional personnel? (Check only one.)

- There is a uniform promotion program throughout the department.
- Each unit within the department has its own promotion program.
- The promotion program varies in accordance with rank.
- There are no established programs; each action is handled on the merits of the individual case.
- Other (Please describe.) _____

33. Which of the following factors are normally included in your promotion (qualification and fitness) standards for correctional personnel? (Please check the appropriate column for each factor as it is used.)

	To Meet Eligibility Requirements	To Receive Extra Points	Used for Ranking Purposes
Supervisory evaluation of performance in present position	_____	_____	_____
Veteran's preference	_____	_____	_____
Seniority within a given rank	_____	_____	_____
Written examination	_____	_____	_____
Oral examination	_____	_____	_____
Service requirements (experience) in your department	_____	_____	_____
Awards or commendations	_____	_____	_____
Evaluation by fellow employees	_____	_____	_____
Education (college credits, associate degree, or higher)	_____	_____	_____
Supervisory evaluation of promotion potential	_____	_____	_____
In-service training	_____	_____	_____
Other _____	_____	_____	_____

34. If your department employs a promotion list, how long is it used? (Check only one.)

- No promotion list is used.
- Until all employees on the list have been promoted.
- Three months.
- Six months.
- One year.
- Two years.
- Other (Please specify.) _____

35. a) "Tenure" refers to the permanent status granted to a promoted employee upon successful completion of a specified probationary period. Does your correctional department have a tenure system for correctional personnel?

- Yes
- No (Skip to Question 36.)

b) If "yes," how soon after promotion are correctional personnel granted tenure? (Check only one.)

- Immediately after appointment to the rank.
- After serving a satisfactory probationary period of 6 months.
- After serving a satisfactory probationary period of 12 months.
- After serving a satisfactory probationary period of 18 months.

IX. PERFORMANCE APPRAISAL

36. a) Is there a formal performance appraisal program for correctional personnel? (Check one in each column.)

	Recruits	Correctional Officers	Ranking Officers
Yes	_____	_____	_____
No	_____	_____	_____

b) If "yes," how often is the employee's performance reviewed? (Check all that apply.)

	Recruits	Correctional Officers	Ranking Officers
Every 6 months	_____	_____	_____
Annually	_____	_____	_____
Every 2 years	_____	_____	_____
Other (Please specify.) _____	_____	_____	_____

c) Who conducts the performance appraisals? (Check all that apply.)

	Recruits	Correctional Officers	Ranking Officers
Immediate supervisor	_____	_____	_____
Next highest supervisor	_____	_____	_____
Fellow employees	_____	_____	_____
Supervisory panel	_____	_____	_____
Other (Please specify.) _____	_____	_____	_____

37. a) Are all appraisals discussed with the employee? (Check one in each column.)

	Recruits	Correctional Officers	Ranking Officers
Yes	_____	_____	_____
No	_____	_____	_____

b) If "yes" in a), who discusses the appraisals with the employee? (Check all that apply.)

	Recruits	Correctional Officers	Ranking Officers
Immediate supervisor	_____	_____	_____
Next highest supervisor	_____	_____	_____
Correctional personnel office staff	_____	_____	_____

c) If "yes" in a), must the appraisal form be signed by the employee? (Check all that apply.)

	Recruits	Correctional Officers	Ranking Officers
Yes	_____	_____	_____
No	_____	_____	_____

c) What are the uses or possible results of the formal performance appraisal of your correctional personnel? (Check all that apply.)

- _____ Salary increase
- _____ Promotion
- _____ Discipline
- _____ Assignment/Transfer
- _____ Dismissal
- _____ Counseling
- _____ Other (Please specify.) _____

X. APPEALS AND GRIEVANCES

38. a) Are there formal procedures in your department for a correctional employee to submit an appeal of a personnel decision?

- _____ Yes
- _____ No (Skip to Question 39.)

b) If "yes," does the employee have the right to:

	Yes	No
Appeal and hearing?	_____	_____
Have a representative at the hearing	_____	_____

39. To whom are appeals made? (Check all that apply.)

- _____ Supervisor
- _____ Institution Review Board
- _____ Warden
- _____ Department Review Board
- _____ Civil Service Commission/Central Personnel Agency
- _____ Governor
- _____ Other (Please specify) _____

XII. FEMALE PERSONNEL

43. Are separate entrance lists maintained for female positions?

Yes
 No

44. a) Are most female personnel used in the same capacity assignments as male personnel?

Yes (Skip to Question 45.)
 No

b) If "no," what are the major duty assignments for female sworn correctional personnel?

45. a) Are promotion procedures for female personnel the same as those for male personnel?

Yes (Skip to Question 46.)
 No

b) If "no," how are they different?

46. Are separate promotion lists maintained for female personnel?

Yes
 No

47. a) Does your institution presently employ any sworn female supervisory positions?

Yes (total number _____)
 No (Skip to Question 48.)

b) If "yes" in a), please indicate the number of sworn female personnel in each of the following ranks.

	Number
Corporal	_____
Sergeant	_____
Lieutenant	_____
Captain	_____
Major	_____
Warden	_____
as a department head for:	
Social Work	_____
Counseling	_____
Psychology	_____
Nursing	_____
Medical Services	_____
Dental Services	_____
Education	_____
Religion	_____
Library	_____
Other	_____

(Please specify.) _____

XTII. MINORITY PERSONNEL

48. How many minority group members (Blacks, Spanish-surnames, Orientals, Indians, etc.) are presently employed in your department/institution?

	Number	Percent of Total
Minority male personnel	_____	_____ % (Male personnel)
Minority female personnel	_____	_____ % (Female personnel)
Other (Specify.)	_____	_____

49. a) Does your department presently employ any minority personnel in command or supervisory positions?

_____ Yes (Total number _____)

_____ No (Skip to Question 50.)

b) If "yes" in a), please indicate the number of sworn minority personnel in each of the following ranks. (Include both male and female.)

	Number		Number
Corporal	_____	Social Workers	_____
Sergeant	_____	Counselors	_____
Lieutenant	_____	Psychologist	_____
Captain	_____	Nurses	_____
Major	_____	Physicians	_____
Warden	_____	Dentists	_____
Principal	_____	Teachers	_____
Librarian	_____	Chaplains	_____
Other	_____		

(Please specify.) _____

50. a) Does your jurisdiction have any special programs for recruiting and hiring disadvantaged and/or minority groups for sworn correctional positions?

_____ Yes

_____ No

b) If "yes," please indicate which of the following are used. (Check all that apply.)

_____ Special recruitment teams (all minority _____; integrated _____; all white _____)

_____ Special school and/or college trips

_____ Visits to community centers, etc., on a regular scheduled basis

_____ Utilizing graduates of the Operation Police Manpower Transition Program

_____ Operating storefront (or similar) centers within the inner city for information and/or examination purposes

_____ Placing advertisements in minority news media

_____ Keeping information offices open after hours and on weekends

_____ Providing pre-examination counseling and training (Please describe.)

_____ Employing different selection procedures and/or standards for minorities (Please specify.)

_____ Other (Please specify.)

XIII. EMPLOYMENT FORECAST

51. How many new employees do you anticipate during the period January 1, 1975 through December 31, 1975?

Replacements _____

New Positions _____

52. Are there any new institutions to be opened in the next five years?

Yes _____

No _____

If yes, How many? _____

Where? _____

How many employees per institution?

53. Are there any new positions approved for the department/institution?

Yes _____

No _____

If yes, How many? _____

Job Titles: _____

54. Has there been a cutback on positions within the last eighteen months?

Yes _____

No _____

If yes, How many? _____

55. Are any changes anticipated in the minimum entry educational requirements?

Yes _____

No _____

If yes, explain: _____

XIV. TRAINING

56. Is there a departmental training program?

Yes _____ How long? _____

No _____

57. Are there training officers in each institution?

Yes _____

No _____

58. Is there an educational leave policy?

Yes _____ (Please attach)

No _____

59. Is there an in-service training policy?

Yes _____ (Please attach)

No _____

60. Is there a special mid-management training program?

Yes _____

No _____

If yes, please explain. _____

61. Is there a special senior level training program?

Yes _____

No _____

If yes, please explain. _____

XV.

(Institution only.)

62. Inmate population _____ (total)

63. Minority Inmate population

Blacks _____

Spanish Americans _____

American Indians _____

Asian Americans _____

Others _____

64. Inmate Racial Climate

Peaceful _____

Hostile _____

Indifferent _____

65. Number of staff per shift

1st _____

2nd _____

3rd _____

66. Type of institution

Maximum Security _____

Medium Security _____

Minimum Security _____

67. Inmate age

18-22 _____

23-35 _____

36-40 _____

over 41 _____

XVI. POLITICAL CONCERNS

(Central Staff Only.)

68. Has there been a legislative mandate for Affirmative Action?

Yes _____ When? _____

No _____

69. Has there been an executive mandate for Affirmative Action?

Yes _____ When? _____

No _____

70. Has there been a judicial order on Affirmative Action?

Yes _____ When? _____

No _____

71. Has there been public agitation for Affirmative Action?

Yes _____ When? _____

No _____

Will you please estimate the number of hours required to complete this questionnaire: _____

Thank you for completing this questionnaire!

END