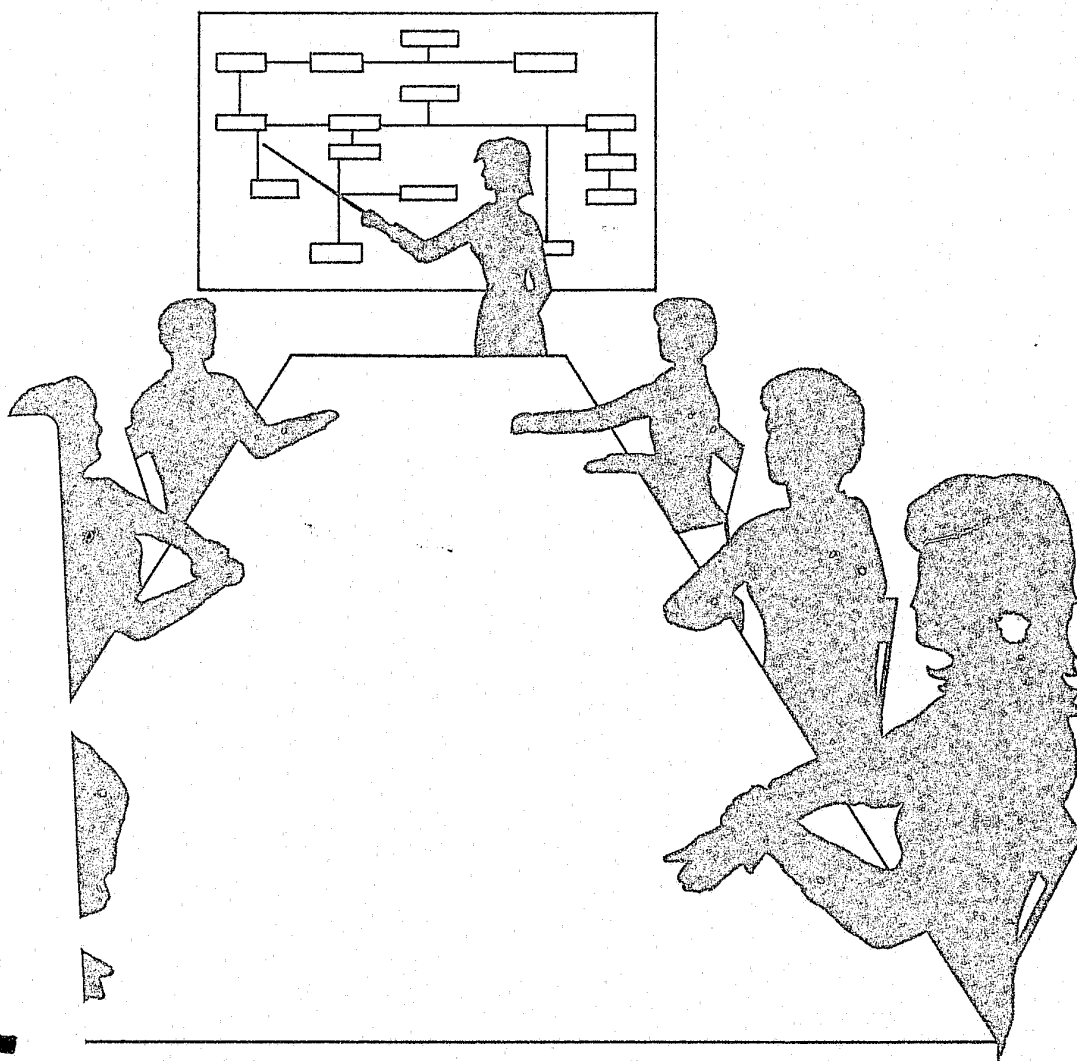


ALTERNATIVES TO INCARCERATION?

A Community Planning Workbook



115902

VOLUME ONE

 Aurora Associates, Inc.

115902

Volume One

ALTERNATIVES TO INCARCERATION? A Community Planning Workbook

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U.S. Department of Justice
National Institute of Justice

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Washington, DC

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March 8, 1982

Donald Murray
National Association of
Counties
1735 New York Avenue, N.W.
Washington, DC 20006

Dear Don:

It was a pleasure talking to you today. I have enclosed a copy of the workbook entitled Alternatives to Incarceration? A Community Planning Workbook. As you can see we have separated the workbook into two volumes. Volume One includes the content and process for suggested planning activities; accompanying exercises and the supplemental reading list are presented in Volume Two.

I will be in touch with you shortly with information for a press release. Thank you for your time and assistance. I look forward to hearing any comments you may have about the workbook. Please do not hesitate to call me.

Sincerely,

Arlen S. Morris

INTRODUCTION

This workbook presents a planning process which is designed to assist you in improving the delivery of your community's criminal justice and human services. The workbook is intended to be used as a tool for identifying problems in the delivery of such services and, in particular, for maximizing the use of resources existing in the community.

A step-by-step process is provided which will help you to organize a planning group and gather and analyze the data you will need to assess the service needs of your community. Also, it will serve as a reference for your planning group to use in formulating policy and developing a plan of action that may be taken to alleviate problems in the criminal justice system. The entire process should ultimately lead to increased efficiency throughout the criminal justice system and related human services.

It is envisioned that the planning group itself will be a diversified group, representing the interests of the

components of the criminal justice system, related human services, county government, and the community-at-large. The workbook is designed as a resource for a group assigned the task of planning for its community's criminal justice system.

Statement of the Problem

In any discussion of planning for the criminal justice system, the issue of fragmentation of the system must also come into play. Traditionally, the components of the criminal justice system have not worked together in a cohesive fashion and have not necessarily shared the same goals. The area of corrections, for example, has undergone several philosophical changes which required adjustments in goals and methods. These modifications in philosophy have not, however, necessarily filtered through to law enforcement and the courts. A community in which the correctional model followed emphasizes the offender's needs as well as society's safety, for instance, runs into conflict with the mandate under which law enforcement typically operates. The emphasis in law enforcement is, naturally, on public safety. Unless properly coordinated, the activities of these two components can easily come into conflict.

Inappropriately placed persons can be found in criminal justice and related human service programs in any community. Evidence of this may be found in the existence of two situations -- widening the net of social control

and jail overcrowding. "Widening the net" refers to the inclusion of persons into criminal justice programs because the services are available in that setting, not necessarily because it is the most appropriate setting for those persons to receive such services. Such persons might never have entered the criminal justice system had programs not been available.

Jail overcrowding has several problematic implications for the community. It decreases the ability of the jail to provide adequate services, while increasing the potential for costly litigation. The safety of both inmates and jail staff may be seriously jeopardized by overcrowded conditions. Problems in the administration of the jail have monetary and safety repercussions in the jail and in the community, since, ultimately, most persons held in jail will return to the community.

The problems of inadequate coordination of services, inappropriate placements within criminal justice related programs, and jail overcrowding are common in communities throughout the country. Toward alleviating these problems, two goals were chosen for the planning process: 1) to explore the use of alternatives to incarceration, within a range considered acceptable and safe by the community and, 2) to maximize the coordination and cooperation among the community's human service and criminal justice agencies. Together, these goals can be used to alleviate strain on overburdened criminal justice systems. While the planning

process employed in this workbook is essentially generic and allows for the addition of other goals relevant to your community, you will notice that the illustrative portions of the workbook text are geared toward addressing these goals.

A few points should be noted in the discussion of alternatives to incarceration. First, although a range of types of alternatives exists, not all of them will be suitable for your community. Some of the options available include: alternatives to prosecution such as dispute settlement and pretrial diversion, alternatives to pretrial confinement such as citation and release on recognizance, sentencing alternatives such as restitution and probation, and sentencing involving some alternatives such as shock probation and weekend sentences, and post-confinement alternatives such as halfway houses and parole.

Next, two important factors should determine which alternatives, if any, should be used in your community. First, given the unique characteristics of your community, deficiencies in the types and number of services offered in your community must be identified to determine what kinds of alternatives are applicable. Second, there may be alternatives to incarceration which are unacceptable to your community. Community input should be encouraged to maximize support for the plan that is ultimately developed. It is important to be sensitive to your community's philosophy

regarding the mission of criminal justice system and, particularly, of corrections.

Systems Planning

Planning provides a systematic approach to reaching a goal. Once a goal has been set, the plan for reaching it should be developed, including the steps necessary for arriving at the designated point, the tasks needed to progress from step to step, and the assignment of those tasks to individuals or teams. Systems for monitoring the implementation of the plan and evaluating its results must be designed and implemented. The information gathered through monitoring and evaluation procedures is critical for improving the process and adjusting tasks or goals if changes in the situation warrant it.

The planning process presented in this workbook reflects a "systems" approach to planning. This type of planning attempts to consider the effects of various policy options on the entire system. In this case, the system refers to the criminal justice system and related human services. Repercussions from changes made in one component of the system must be carefully considered before final policy is adopted. Successful policy implementation relies upon effective coordination of the components, which hinges upon good communication. For example, a decision to refrain from incarcerating persons on alcohol abuse-related charges must be discussed with police, to allow them to

strategize about how to adapt to the absence of jail as an option for dealing with such persons, and with relevant human service programs which may see an influx of clients as a result. Together they should coordinate how to handle the implications of such policy decisions. None of the components of the system operate independently.

The Planning Process

The planning process presented in this workbook has been adapted from the Transfer 14 Total Systems Planning Model developed by the National Criminal Justice Clearinghouse for Planning and Architecture. Transfer 14 provides a series of steps devised to take the planner from the initial identification of planning tasks to the implementation of programs. The six-step planning process used in this workbook is as follows:

- Identify issues and goals
- Gather information
- Analyze information
- Formulate policy
- Develop an action plan

IMPLEMENTATION

- Monitor and evaluate

The Planning process is graphically depicted in Figure 1. Implementation occurs between Steps 5 and 6 and should be monitored to provide periodic progress reports. Although evaluation appears as the last step of the process, the

evaluation framework should be designed immediately following the development of your action plan and prior to implementation.

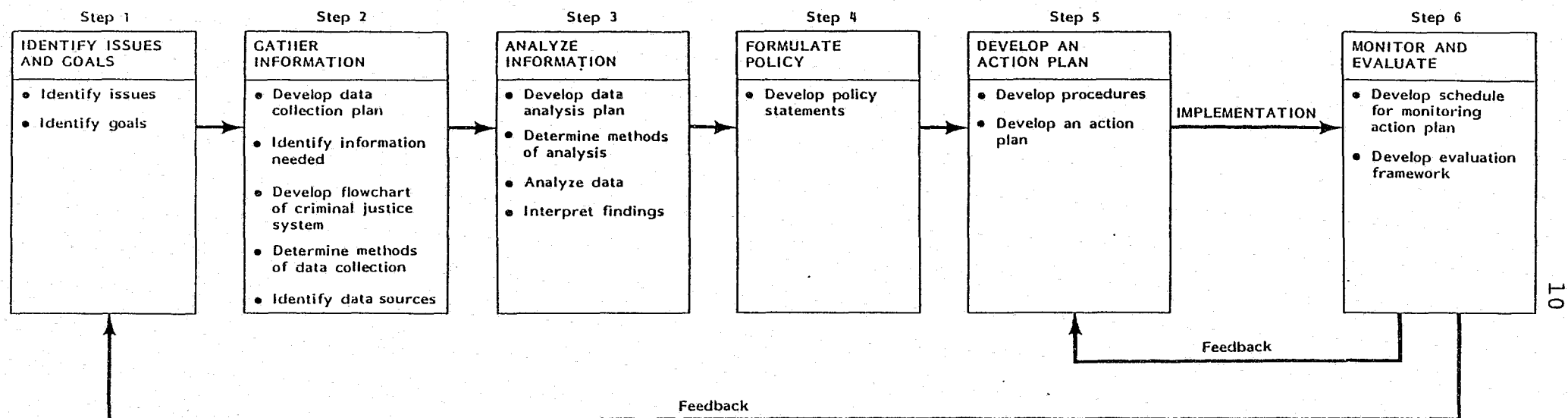


Figure 1: THE PLANNING PROCESS

Time Frame for the Planning Group

The time frame for completion of the planning process will depend upon the amount of resources available and the types of problems facing your community. The speed with which you are able to mobilize your planning group; the amount, quality, and accessibility of data collected; the amount of time planning group members have available to commit to the planning process; and the availability of the wide variety of skills (data collection, data analysis and interpretation, policy analysis, etc.) called for in the planning effort will all affect the amount of time required to complete the process. Nevertheless, the group will need to spend time developing a time frame for its activities to provide some parameters in which to work.

Many of the steps of the planning process will overlap. For example, monitoring, which is designed to track the progress of the plan developed, should begin at the onset of the planning process and continue until the evaluation is completed. Data needed for evaluation activities must also be collected from the very start of the planning activities, even though the evaluation itself will not begin until implementation has been underway for some time.

Organization of the Workbook

The workbook is divided into two volumes. Volume One presents a detailed descriptions of each of the steps in the planning process. These steps are further broken down

into the planning activities your group will need to undertake.

To facilitate use of the workbook, a hypothetical example of Lakeside County appears in several sections and is presented in its entirety in the section entitled "Case Example". The Case Example illustrates some of the problems and issues a county such as Lakeside may encounter in following the planning process.

Following the Case Example are a glossary and several appendices: System Load Analysis, System Cost Analysis Data Element Examples, and a Community Tolerance Questionnaire. The appendices have been included to provide additional information regarding some of the more technical aspects of the planning process. They are provided to answer many specific questions that you may have as you proceed through the planning process.

Volume Two contains exercises which are designed to give planning group members the opportunity to practice the activities associated with each planning step. For your reference, a Supplemental Reading List is also included in this volume.

ESTABLISH THE PLANNING GROUP

To effectively begin the planning process, a planning coordinator must be identified and hired. If the planning effort is established through a county government mandate or through executive or administrative order, the appointing authority would be responsible for allocating the necessary resources to insure that the planning process is completed. In addition, these persons should provide an initial mission statement for the planning group. A mission statement presents the planning group's purpose. It will serve as a reference point throughout the duration of the planning process.

Selecting a Planning Coordinator

It is crucial to the success of the planning process that the appointing authority (e.g., County Administrator, County Commissioners) interview and hire an individual who is capable of carrying out the duties and responsibilities associated with the position of Planning Coordinator. The

individual(s) responsible for hiring the planning coordinator should look for a person who will:

1. have the time to carry out coordination responsibilities;
2. be able to develop a rapport with the various planning group members. A good working relationship will ensure that different viewpoints are raised for discussion;
3. have a good understanding of the community's criminal justice and human service programs;
4. not enter the planning process with a preconceived solution to the problems facing the criminal justice system;
5. preside in a neutral fashion, that is, preference should not be given to any one individual or group;
6. have prior experience either as a chairperson, technical assistance provider, and/or trainer;
7. have an understanding of group dynamics; and
8. have the ability to synthesize and present information both verbally and in writing.

In addition to organizing and orchestrating the planning process, the planning coordinator is responsible for the following:^{1/}

- seeing that an agenda is written and distributed prior to each meeting;
- securing a suitable meeting room;
- insuring that the agenda is followed;
- insuring that previously set time lines are kept;
- supervising the staff assistant(s);

- being prepared to meet with the press and other individuals interested in the group's progress; and
- submitting a progress report to the appointing authority at the completion of each planning step.

If funds are available, it is strongly suggested that one or more staff assistants be hired. This person would be responsible for providing assistance to the planning coordinator and for working with planning group members to assist in such tasks as data gathering. Ideally, this individual should have some research skills and be able to conduct computer analyses. If a secretary is not available, the staff assistant(s) would be responsible for recording the minutes during each meeting. The minutes should summarize what occurred and record all decisions made.

The next section defines and describes the planning group.

Who should serve on the planning group?

There are several persons who should be invited by the planning coordinator to serve in an advisory capacity throughout the planning process. Broad representation offers several advantages:

1. It increases the opportunity for all sides to be heard.
2. It facilitates cooperation between criminal justice and human service agencies, as well as encouraging cooperation among the components of the criminal justice system.

3. It provides access to the various types of data necessary to the planning process.
4. It insures the inclusion of persons whose influence will be necessary for implementation of the plan.

For the purposes of this process the following individuals should be contacted to serve on the ADVISORY COMMITTEE:

- County Manager/Administrator
- County Commissioner
- County Finance Director/Budget Analyst
- County Planning and Research Director
- Chief of Police
- Sheriff
- Judge
- Public Defender
- Jail Administrator
- Administrators of County and Private Corrections Programs
- Director of Probation
- Director of Parole
- Director of Social Services
- Director(s) of Private Human Service Programs
- Representatives from Citizen Groups
- Interested Citizens

Depending on your situation, additional ADVISORY MEMBERS may be added as necessary.

How should the planning group conduct business?

Prior to the first meeting, the planning coordinator should contact the ADVISORY COMMITTEE to briefly explain

their mission and to find out their concerns and areas of interest. During the first meeting of the ADVISORY COMMITTEE, it is critical that the coordinator set the tone and pace for the planning effort. The planning coordinator should also present the six-step planning process that will be used. The steps are:

- Identify issues and goals
- Gather information
- Analyze information
- Formulate policy
- Develop an action plan

IMPLEMENTATION

- Monitor and evaluate

Estimates of how long it will take to complete each step should be discussed to give each member an idea of what will be required.

Based on the planning coordinator's presentation of the skills and level of effort required to complete the planning process, each ADVISORY COMMITTEE member should appoint a qualified representative from his/her agency to serve on the WORKING COMMITTEE. This individual must be able to attend all meetings, complete the required work, and be responsible for keeping the advisory committee member from his/her agency informed. These two committees, ADVISORY and WORKING, will comprise the planning group and should meet jointly, at a minimum, at the end of each planning step.

Once the participants who comprise the WORKING COMMITTEE are selected, the planning coordinator should schedule the first business meeting. At this meeting, each member should be provided with a written copy of the mission statement for the planning group. The planning coordinator should again present a detailed description of the six-step planning process the committees will use.

During the meeting it may be helpful for the WORKING COMMITTEE to address several questions regarding what it intends to accomplish. Below are some questions the working committee should discuss to assure clarity about its mission and focus.^{2/}

1. What expectations does the appointing authority have?
2. To accomplish our mission, what types of information should we collect?
3. Should any other agencies or individuals in the community be involved in the planning process?
4. How long will the planning process take to complete?
5. Will assistance be necessary from special consultants, student interns, and/or volunteers?
6. What will be done with the recommendations of the planning group?

It is important to take time at the onset of the planning process to carefully answer such questions and avoid later confusion. The more completely you are able to answer these questions, the greater will be the degree of understanding and consensus about the group's purpose.

Subcommittees. In an effort to make the activities of the WORKING COMMITTEE more manageable, it is recommended that the planning coordinator assign members to subcommittees. During the planning effort the subcommittees will be responsible for gathering and analyzing data, developing policies and procedures, monitoring the planning process, and, ultimately, evaluating the implementation of the plan.

Subcommittees can be formed to reflect the different divisions of the criminal justice system and human service agencies represented. The divisions chosen for this workbook are County Government, Corrections/Law Enforcement, Courts, and Human Services. Members should be assigned to the appropriate subcommittee based upon the agency they represent.

The four subcommittees include:

Subcommittee 1: County Government

One representative from the following:

- County Manager/Administrator's Office
- County Commissioner's Office
- County Planning Department
- County Finance Department
- Member of a Citizen's Group/Interested Citizen

Subcommittee 2: Corrections/Law Enforcement

One representative from the following:

- County Jail
- County Corrections Program

- Private Corrections Programs
- Probation Department
- Parole Department
- Sheriff's Department
- Police Department
- Member of a Citizen's Group/Interested Citizen

Subcommittee 3: Courts

One representative from the following:

- Judiciary
- County Attorney's Office
- Public Defender's Office
- Member of a Citizen's Group/Interested Citizen

Committee 4: Human Services

- Representatives from Public (County) Human Service Agencies
- Representatives from Private Human Service Agencies
- Member of a Citizen's Group/Interested Citizen

Dividing WORKING COMMITTEE members according to agency in which they work is only one way of creating subcommittees. Depending upon the individuals in your working committee, your planning coordinator may decide to:

- assign individuals with similar skill levels to different subcommittees;
- assign individuals along functional divisions of the planning process, i.e., one subcommittee would be responsible for Steps 1 and 2, another subcommittee would be responsible for steps 3 and 4, etc.; and

- randomly assign members to subcommittees to help insure that criminal justice and human service representatives are placed on all subcommittees.

Once your planning coordinator has divided your WORKING COMMITTEE into subcommittees each subcommittee should establish a regular meeting schedule. A staff assistant should be available during these meetings to provide technical assistance, if necessary, and will be responsible for securing the meeting room and distributing the agenda. The staff assistant should also keep a record of each member's attendance. The planning coordinator should establish certain rules and regulations about such things as meeting attendance and what will be done if a working committee member misses several meetings. Each subcommittee should follow these rules and regulations.

One of the first tasks of the subcommittees will be identify key issues in their community which appear to be problematic. This is discussed in the following section, Step 1: Identify Issues and Goals.

IDENTIFY ISSUES AND GOALS
<ul style="list-style-type: none">• Identify issues• Identify goals

STEP 1

IDENTIFY ISSUES AND GOALS

This workbook is intended to present a planning process that will assist your community in conducting a systems analysis of its criminal justice system and related human services. This type of planning is designed to help a community improve the delivery of its services. The results of this planning effort will provide county government officials with the necessary information upon which decisions can be made regarding the county's use of alternatives to incarceration and ways to maximize coordination between its agencies.

What are the important issues which face your community?

The planning group as a whole must seek to identify those issues believed to be confronting its community. Initially, each subcommittee would be responsible for generating a list of issues which will be discussed when the advisory and working committees convene.

The issues which are listed by the committees should be arranged from most critical to least critical. It is during this joint meeting of the advisory and working committees that the planning group's philosophical positions will begin to emerge. Naturally the planning group's positions will affect, to some extent, the direction the planning effort will take. The PLANNING COORDINATOR SHOULD ENCOURAGE ALL GROUP MEMBERS TO PARTICIPATE IN A COMPLETE LISTING AND DISCUSSION OF ISSUES.

Presented on the following pages are some examples of issues which express community concerns about the criminal justice system and related human services. View them only as examples and do not limit your discussion to these issues, as your community is unique.

1. Is jail overcrowding a problem in your community?

A community must first determine what some of the major problems associated with overcrowding are. These problems may include violation of standards resulting in costly litigation, unmanageability of inmates, and high turnover rates among staff. In many communities the immediate response to a situation of overcrowding in the jail is to seek ways to obtain more space, whether it be through construction or arrangements with a neighboring community to accommodate inmates. Expanding or more effectively utilizing community based programs may be ways to avoid relying solely on construction of additional space for incarceration.

2. Is widening the net a problem in your community?

Widening the net of social control refers to placing persons in alternative programs who, if such programs did not exist, would not have entered the criminal justice system. Rather than reducing the incarcerated population, in some communities alternative programs are simply handling more individuals without significantly reducing the jail's population.

Net widening can lead to problems such as overloading the system with too many clients, or overloading the clients with too many programs. Some of the possible by-products of this situation may be an inefficient use of resources, unmanageable caseload size, and the inclusion of inappropriate clientele in programs.

3. Does the range of alternative services match the underlying need for services in your community?

Duplication of existing services results when there is a lack of networking and/or coordination between human service and criminal justice agencies. Toward remedying this situation some communities have placed greater emphasis on developing interagency linkages and exchanges and on engaging in joint problem solving between criminal justice and related human service agencies. To determine if duplication of services exists in your community the method for referring clients to programs should be examined, as well as the types of services these programs provide.

4. How can existing resources be better used?

Most communities have a range of corrections related services. Because of specific problems in the community, some corrections services may be overloaded while others may be operating under their designed capacity. To what extent can individuals who would have been placed in an overloaded program or facility be appropriately placed in one of the underutilized services? If overloading can be reduced, or lessened temporarily, the costs associated with expanding service capacity can be postponed. To the extent that individuals are being placed inappropriately in costly residential facilities when they would, at no increased risk to the community, benefit more from a less restrictive environment, a double benefit occurs to the community from seeking alternative placements to reduce overloaded conditions. (For additional information see Appendix A: Systems Load Analysis.)

5. What will it cost to continue to provide the present level of services?

Looking ahead, what will be the need for new services and facilities to meet growing corrections service needs? What will be the budgetary impacts of maintaining the current service level in the face of growing demand? This issue involves projecting likely service needs and then comparing those needs with the existing level of service capacity. The costs of expanding service capacity for a range of program alternatives can be compared. It may be

found that, instead of devoting a large amount of money to the expansion of a jail facility, focusing some available resources on alternative services may reduce the demand for secure residential facilities sufficiently to postpone costly construction programs. (For further information about this issue, see Appendix B: System Cost Analysis.)

6. Are criminal justice and human service staff familiar with the operations of related services provided within the community?

The extent to which the criminal justice system and related human services operate efficiently depends upon the degree to which the workers in the system are familiar with all the services offered throughout the system. Communication must take place between agencies for workers to obtain the information needed to make appropriate referrals. Unnecessary personnel and service delivery costs may be incurred when an individual is inappropriately placed and must be referred to another program.

Taken together the issues your planning group identifies should present a clearer picture of some of the problems confronting your community.

What are the goals of the planning process?

The purpose of this planning process is to help a community improve the delivery of its criminal justice and human services. The first step toward improving the delivery of services is to identify potentially problematic areas, which, if addressed, would impact the delivery of services.

Based upon the issues your planning group identified, the goals it hopes to accomplish through the planning process can be determined. Goals are defined as broad statements of what your planning group intends to do to improve the delivery of criminal justice and related human services.

It is important that all planning group members understand and agree on the goals. To help assure commitment toward goals, the advisory and working committee members should participate in their development.

The issues previously discussed, which are only examples, are typical of issues confronting many communities. Two goals which address these issues have been identified:

1. To explore the use of alternatives to incarceration, within a range considered acceptable and safe by your community. 3/
2. To maximize coordination and cooperation among criminal justice and human service agencies.

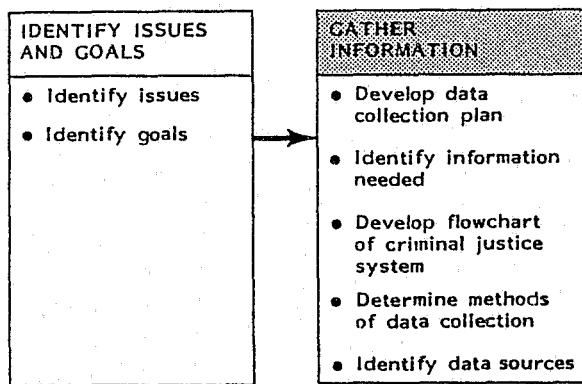
It is anticipated that achievement of these two goals would lead to improved delivery of criminal justice and related human services. Your planning group may also want to specify other goals relevant to the issues identified in your community.

The following step in the planning process presents information which should be gathered to ascertain the significance of the issues identified by your planning group.

Summary

By the end of this step you will have:

- identified and set priorities among issues confronting your community; and
- defined the goals for the planning effort.



STEP 2

GATHER INFORMATION

The process of gathering information is critical to the success of the planning effort. Steps to achieve your goals can be developed only after a careful assessment of the way your criminal justice system and related human services currently operate. A data collection plan, and, eventually, an analysis plan will be necessary to ensure the collection of appropriate and sufficient data for this kind of assessment.

How is a data collection plan developed?

Before data collection activities begin, it is important to determine the specific information that will be needed. It is always disappointing to reach the point of data analysis only to find that the correct data were not collected, or at least not in sufficient quantity to allow helpful inferences to be made. On the other hand, collecting an overabundance of useless data wastes valuable resources. Therefore, it is wise to know what data are needed and why before data collection activities begin.

Initially, you will need to collect descriptive information about your community that will provide the context for understanding your criminal justice system and related human services. Current and projected population characteristics are important examples of these kinds of data, since population will affect the demand for services. State laws and county ordinances affecting criminal justice system operations, and licensing requirements for community alternatives should be identified. Information about jail standards (e.g., American Bar Association, American Medical Association, State) and compliance will help identify problematic areas related to the jail and its operations.

Additionally, it is important to understand and philosophies of your community. Corrections programs perform a variety of functions, including protection of the public, deterrence from further criminal behavior, treatment of the offender, and incapacitation/punishment. Different communities may place more emphasis on a particular function than on another. Also, the function performed for a specific type of criminal behavior may differ from the overall role of corrections in your community. Rape, for instance, may be dealt with through incapacitation, while nearly all other criminal behavior may be dealt with through treatment. It is wise to devote some time to describe the role your community feels corrections should take in regard to various forms of criminal behavior. Community norms of acceptance can greatly influence, for example, the number

of alternative programs a community has, who enters such programs, and who goes to jail.

Once you have identified basic information needed to describe your community, the next step in developing a data collection plan is to determine the specific data elements necessary for understanding the issues identified in the previous planning step. Your purpose in collecting these data are to determine the significance of the issues in your community, to specifically identify problems such as service gaps, and to provide guidance for the planning of activities to address the issues.

In developing a data collection plan it is important to remember that data can be collected in several levels of measurement. Length of time spent in jail, for instance, can be measured in terms of days, months, or years. Offense data can be collected simply along the division of felony and misdemeanor or by specific charges, such as shoplifting, petty larceny, and grand larceny. Decisions regarding what level of measurement should be used for each variable must be made before data collection can begin. The level of measurement of a variable will affect the types of analyses that can be performed, so the types of analyses to be used should also be considered in choosing levels of measurement. The following section discusses analysis techniques in more detail.

It should also be remembered that data collected at this point will be used later in evaluation, as the basis

for making comparisons of what happened before and after implementation.

How is data collected on issues?

The most time consuming, yet most critical, part of gathering information is identifying data elements needed to thoroughly examine community issues. Identifying data elements can quickly become unmanageable in a large group, therefore, it is best to divide the issues among the subcommittees and have each subcommittee develop a data collection plan for those issues. The plan should include the data elements to be collected and the levels of measurement to be used.

As each issue poses a broad question about the criminal justice system or related human services in your community, it may be helpful to pose a number of specific research questions, which, when answered, will provide a documented response to the issue. These research questions will then dictate the specific data elements that you will need to collect.

An outline of this process follows using three of the issues presented in the previous planning step as examples of commonly problematic issues. The examples are by no means exhaustive, and should only serve as guidelines for how to develop your own data collection plan. Appendix C provides additional examples of data elements.

Issue: Is widening the net a problem in your community?

Research Question 1: What alternatives to incarceration have been implemented over the past five years?

Data elements:

- type of program (residential or nonresidential)
- type of services offered
- population served
- specific charges of inmates/participants
- average length of stay or participation
- referral source
- number served per year (or most appropriate measure, depending upon the type of program, e.g., average daily population, jail days, etc.)
- funding source

Information such as this will provide a profile of the types, if any, of alternatives to incarceration which have been implemented over the past five years in your community. By examining this group of programs separately, you will be able to determine where the funding has gone in the past. This may provide some indication of where the perceived need for services has been in your community, although need and funding are not necessarily the same. You will also be able to see who has been receiving these services, and if that client population has changed over the years. This is important to know so that you can assess whether or not the program's services are being properly directed.

To help assess the appropriateness of the population actually served, data regarding the programs' original mandates, namely, what types of services had been envisioned as being delivered by each program, to whom, and for what length of time, should also be collected. All of this information will be needed for the evaluation which will occur later on in the planning process.

Research Question 2: What has been the growth in population served for criminal justice and related human service programs (including the jail) over the past five years?

Data elements:

- type or program (residential or nonresidential)
- type of services offered
- population served
- specific charges of inmates/participants
- average length of stay or participation
- referral source
- number served per year (or most appropriate measure, depending upon the type of program, e.g., average daily population, jail days, etc.)
- funding source
- legal status (pretrial, presentence, sentenced, holds, etc.)
- number of arrests per year (by specific charge)
- number and type of citations and summons in lieu of arrest

The data elements above are, in large part, a duplication of those listed for the first question. You must obtain comparable data for all programs and services so that clients' placements may be tracked. This information will help you judge whether or not the alternative services that exist are handling appropriate cases or are actually providing services to persons who need not be under the jurisdiction of the criminal justice system. It will also help you discover the type of person traditional criminal justice programs have typically been handling in your community, which will provide an indication of whether or not those programs are providing services to an appropriate population. Data regarding arrest rates will provide an indication of how the number and types of persons entering the criminal justice system have changed over the years.

Issue: Is jail overcrowding a problem in your community?

Research Question 1: What is the capacity of your jail?

Data elements:^{4/}

- average daily population
- length of stay
- jail days
- total bookings
- net bookings (persons housed)
- number of felony and misdemeanor inmates, as well as others such as holds

- number of pretrial and sentenced inmates, as well as others such as state prisoners
- number of male and female inmates
- number of beds for male and female inmates
- number of beds for other specific classification groups

Capacity of a jail does not simply refer to the number of beds available. The length of stay of inmates can reveal how long particular groups of persons typically stay in the jail, such as pretrial and sentenced inmates, and persons charged with felonies or misdemeanors. By comparing the number of total bookings with the number of net bookings, you will gain an idea of how frequently jail is used as a processing option.

In calculating capacity, classification systems must also be taken into account. If the jail generally only handles two or three female inmates at any given time, but has ten beds allotted in a separate modular to females, the total number of beds in the jail may be a misleading number to consider in defining capacity. The available capacity may be different from that of the overall capacity of the institution for specific populations.

The above information will provide you with a better understanding of the flow of persons through your jail, the number of persons your jail can handle "comfortably", and the percentage of persons entering the criminal justice system that comes into contact with the jail. The data

will help you identify processing weaknesses and strengths and begin to point out areas where alternative placements can be considered. The data are also useful for presentations to persons unfamiliar with the jail and its operations.

Research Question 2: Who is in your jail?

Data elements:

- legal status (pretrial, presentence, sentenced, holds, etc.)
- charge status (felon, misdemeanor, municipal offender, etc.)
- specific charge
- date of birth
- ethnicity
- education
- employment
- marital status
- vocational status
- emotional/mental health (past or present treatment for emotional or mental health problems)
- substance abuse (presence of past or present substance abuse problems)
- means of release from the facility (bond type and amount)

One of the many issues involved in overcrowding is the identification of the most appropriate population to use the scarce resources of the jail. Your community

certainly has some notions about who that population should be, as do the workers in the criminal justice system.

It is helpful, however, to periodically take stock of who the typical residents of the jail are. It is possible that, because of a lack of more appropriate services, persons who do not necessarily have to be in jail may appear among the inmate population. Also, the population may change, due to external variables such as deinstitutionalization of mental health patients, or stricter enforcement of particular laws by law enforcement officials. By examining who is in the jail, some of these factors may become apparent, and may indicate that, if overcrowding is not currently a problem, it may be looming on the horizon.

Issue: How can existing resources be better used?

Research Question 1: What is the current load on corrections programs?

Data elements:

- quantity of service presently being provided by each program or facility included in the planning study. Units of measure might include enrollees per year, number of cases closed per year, number of person days of service per year
- optimal service capacity of each program or facility, independent of the actual level of service currently provided (data obtained from design standards, accepted norms and interviews)

Research Question 2: How will service load change over the next three years?

Data elements:

- change in program activity levels over the past three years (gather program activity level data for the past three years)
- projected community population growth for the next three years (using either readily available projections for the community or extrapolating from the trends of the prior three years)

Research Question 3: What community services potentially could share placements in order to reduce overloaded conditions?

Data elements:

- functional grouping of services based on similarities in the client groups that they service (e.g., drug abuse, alcohol abuse, vagrancy, traffic offenses)

Research Question 4: How can clients be reallocated among related services to relieve overcrowded conditions?

Data elements:

- calculate the degree of overlap between related services and reallocate clients from overloaded services to underutilized services where such changes in placement are appropriate (data obtained from previous steps)

A specific methodology to address this issue is contained in Appendix A, "System Load Analysis". The system load analysis describes an approach for measuring the present and near-term demand placed on corrections services relative to the optimal capacity of those services. An approach for grouping comparable services and reallocating placements from overloaded to underutilized services is described. The system load analysis involves four discrete

tasks. These tasks are stated as research questions appearing above and the data necessary to answer each of these research questions are listed as they could be in a data collection plan.

What is an easily comprehensible way to depict how the criminal justice system works?

A flowchart can visually represent a community's criminal justice system. The flowchart should reflect the step-by-step progression a person takes through the system, and each of the decision points along the way. Flowcharts are helpful devices, both as presentation tools for educating persons unfamiliar with a system, and for exposing differences between how the system is assumed to work and how it actually operates.

In order to construct a flowchart, you will need to gather information about how criminal justice agencies in your community process individuals. Every community's flowchart will be somewhat different, so it is important to identify the idiosyncracies in your system that make it unique. The guidelines presented below will help you collect the necessary data for developing a flowchart. You may wish to delegate this task, at least initially, to the Corrections/Law Enforcement and Courts subcommittees.

Guidelines for Gathering Information Needed
to Flowchart the Criminal Justice System 5/

1. List all criminal justice agencies in the community (law enforcement, prosecution, defense, courts, corrections).

2. Identify all decision points where someone with the necessary legal authority can:
 - a. Order a person's arrest and/or commit him or her to jail.
 - b. Decide to employ some alternative to incarceration (either human service or criminal justice).
3. For each decision point above:
 - a. Identify the decision maker(s).
 - b. List and define the options.
 - c. Indicate whether explicit policies or guidelines govern the decision, and list them if they exist.
 - d. Make clear whether someone other than the decision maker regularly provides information to assist in determining the defendant's eligibility for particular options. Identify this person or agency.
4. Convert the outline into a flowchart depicting how an individual in your community enters the criminal justice system and is processed. The Case Example includes an example of a flowchart on page 129.

A comprehensive list of all of the human service programs existing in your community should also be compiled by the Human Services subcommittee, with the type of services offered, population served, and referral source specified. This list will be used to identify potential sources of services yet untapped by the criminal justice system.

What methods should you use to collect the data?

The information required for successful planning can be obtained by using two types of collection methods:

methods of primary data collection and methods of secondary data collection.

Primary Data Collection. Primary data collection refers to data collected from an original source such as community residents, offenders, and human service and criminal justice personnel. The most commonly used methods for collecting this type of information are person-to-person interviews, telephone interviews, and mailed questionnaires. Questionnaires and interviewing allow you to obtain information about the respondent's attitudes and perceptions.

While person-to-person interviews allow the interviewer to clarify questions and to observe facial reactions, it is a time consuming method which limits the number of persons who can be interviewed. Substantial resources are required to conduct personal interviews. Telephone interviews, while requiring fewer resources, are more limited in the type and number of questions that may be asked. Finally, mailed questionnaires are the least expensive way to survey a population, however, this method relies heavily on the ability of the population surveyed to uniformly comprehend the language and format of the questionnaire. You should expect the response rate for mailed questionnaires to be lower than for person-to-person or telephone interviews.

An example of a primary data collection instrument appears in Appendix D.

Secondary Data Collection. Much of the data needed for the planning process will be collected from existing records, such as county budgets; police, court, human service, and corrections records; and census reports. This is referred to as secondary data collection.

A drawback to secondary analysis is that the quality of the information gathered is dependent upon the quality of the information originally recorded. If there were inconsistencies in the way data were originally collected, or in the forms that were used, it may be difficult to correct for them in your analysis. Therefore, every effort should be made to assure that the interpretations of the items collected remain constant during the period under examination.

Where can you find the data you need?

Once you have identified the data elements you wish to collect, your group should identify potential sources from which the data may be obtained. A good researcher is creative in tracking down sources of useful information. Many county government offices keep historic and current demographic data on the community's population which may be useful in tracing and projecting trends in population characteristics. You may need persons within these offices to assist you in using their records.

Some of the records needed in the data collection process may be confidential. Therefore, it will be necessary

to have persons available with the proper authorization to access these records.

Some examples of where data can be obtained include:

1. court records;
2. police records;
3. jail records;
4. various program and agency records;
5. agencies such as County Planning and County Finance Departments; and
6. other sources such as advocacy and specialized groups.

In addition to these sources, data may also be obtained through interviews of individuals such as government officials, program directors and administrators, line staff, citizens, etc.

Presented below is a hypothetical example of the data collection plan developed by the Lakeside County Criminal Justice Planning Group. This example is presented in its entirety beginning on page 93 - Case Example.

EXAMPLE

Background

Lakeside County, which is located in the midwestern portion of the country, is a suburban/urban county with a population of 261,617. The County's government is headed by a County Administrator and a five member council.

The County jail's population has increased by 17 percent in the past five years and is projected to increase

in the near future according to increased population projections, higher crime rates, and an overcrowded state prison. Recently, the Lakeside County jail administrator was contacted by state officials and asked to house state prisoners.

The County Council decided to establish and fund a task force with is mandated to explore alternative means of handling persons passing through its jail and ways to facilitate better linkages between its criminal justice system and related human services. A planning coordinator, one staff assistant, and a part-time secretary have been hired. To date, the planning coordinator has divided the working committee into four subcommittees:

- County Government
- Corrections/Law Enforcement
- Courts
- Human Services

Each subcommittee has identified issues which the entire planning group prioritized.

One of the most pressing issues was jail overcrowding. The Corrections/Law Enforcement subcommittee was responsible for developing a data collection plan which would guide the group's efforts in exploring this issue. Data from 1976 to 1981 would be gathered. Table 1 presents a portion of this subcommittee's data collection plan. Other research questions were written and the data elements identified by the subcommittee. A draft of the final data collection plan was completed and given to the planning coordinator, who was responsible for intergrating this plan into a data collection plan for the entire working group.

Table 1

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S DATA COLLECTION PLAN

LAKESIDE COUNTY

ISSUE: IS JAIL OVERCROWDING A PROBLEM IN LAKESIDE COUNTY?

Research Question	Data Elements	Levels of Measurement	Methods of Data Collection	Where Data can be Obtained
Who is in the Lakeside County jail?	1. Legal status	a. Pretrial b. Sentenced	These data elements will be collected from existing records (secondary data collection)	Jail records
				Police records
	2. Most recent charge	a. Felony (by actual charge) b. Misdemeanor (by actual charge)	A random sample of inmates will be used for each year data are collected	Court records
	3. Gender	a. Male b. Female		
	4. Age	a. Actual age		
	5. Ethnicity	a. Black b. White c. Asian d. Hispanic e. Other (specify)		
	6. Education	a. Last grade completed		
	7. Residence	a. Lakeside County b. In-state c. Out-of-state (specify)		

Table 1 (continued)

Research Question	Data Elements	Levels of Measurement	Methods of Data Collection	Where Data can be Obtained
	8. Employment at time of arrest	a. Full time b. Part time c. Unemployed d. Receiving unemployment benefits		
	9. Marital Status	a. Single b. Married c. Separated d. Divorced		
	10. Emotional/Mental Health	a. Past treatment for emotional/psychological problems b. Present treatment for emotional/psychological problems		
What is the capacity of our jail?	1. Jail capacity	a. The number of beds the jail has according to design specifications - number of beds for males - number of beds for females	These data elements will be collected from existing records (secondary data collection) A random sample of inmates will be used for each year data are collected	Final architectural plans State laws related to jail capacity State/county jail standards Jail records Police records
	2. Total bookings	a. Per year		

Table 1 (continued)

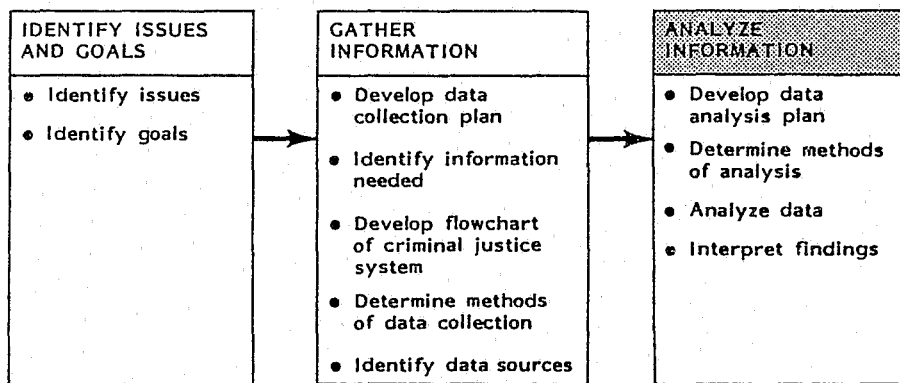
Research Question	Data Elements	Level of Measurement	Methods of Data Collection	Where Data can be Obtained
	3. Net bookings (persons housed)	a. Per year		
	4. Average daily population	a. Total number of days served by all prisoners in a jail per year divided by 365		
	5. Average detention time	a. Total number of days served by all prisoners in a jail per year divided by the number of prisoners committed during that year		
	6. Number of felony and misdemeanor inmates	a. Number of felons per year b. Number of misdemeanants per year		
	7. Number of pretrial and sentenced	a. Number of pretrial inmates per year b. Number of sentenced inmates per year		

The following step in the planning process discusses various analysis techniques which may be used once you collect your data.

Summary

By the end of this step you will have:

- developed a data collection plan;
- identified the information you need to collect;
- developed a flowchart of your criminal justice system;
- identified the data collection methods you intend to use (secondary data collection, telephone interviews, person-to-person interviews, mailed questionnaires, etc.); and
- identified possible data sources and explored the types of information they have to offer.



STEP 3

ANALYZE INFORMATION

The purpose of data analysis is to describe the information you gathered and draw some inferences from it. Depending on the amount and type of data collected, your planning group should, by the end of this step, be able to describe and draw conclusions about such issues as how your community's criminal justice system operates; how resources are allocated; where gaps or duplication exist in the delivery of services; and where inappropriate placements most frequently occur. The data, if properly gathered and analyzed, can be used as an effective tool for achieving your goals.

For many, data analysis is viewed as time consuming, confusing, and often frightening. It does not have to be. This section presents an overview of some relatively simple statistical techniques and a discussion of how to develop a data analysis plan to help direct the analysis effort. The results of the data analysis will provide you

with the necessary information to develop both policy statements and an action plan.

How is a data analysis plan developed?

In order to effectively manage the data you have collected, each subcommittee should develop a data analysis plan to guide this effort. Your plan should indicate for each question:

- the data elements which have been collected;
- the relationships that will be examined; and
- the analytical techniques used.

A good data analysis plan will help (a) answer your research questions; (b) squeeze all the relevant information out of the data, and (c) describe the issues under study or provide new information about your criminal justice system.

The staff assistant should help your committee develop this plan. The planning coordinator should then integrate each committee's plan into an overall data analysis plan for the entire planning group.

What options are available for analyzing the data?

The planning group must decide whether the data analysis will be done manually or by computer. If there is no one available with the necessary expertise and/or if cost is a serious problem, we suggest that the analysis be conducted manually.

However, if cost does not present a significant problem, and if there is a person available with the necessary

expertise, then your planning group may want to consider computer analysis because it offers the following advantages:

- fast turn around time, i.e., what may take days or weeks to perform by a calculator takes only minutes by computer;
- ease of statistical analyses, especially when the sample size is large and there are many variables; 6/ and
- decreased probability of computational errors.

Before making the decision, the following questions should be addressed:

1. Is a computer available?

If so:

- a. Is it accessible?
- b. What types of software packages are available?
- c. What, if any, are the approximate costs involved?
- d. Have precoded data collection forms been used so that data can easily be keypunched for computer analysis?
- e. Are student interns and/or planning group participants with the necessary knowledge and skills available to input and interpret the data?

If the answers to these questions reveal that:

- a computer system is accessible;
- the necessary expertise is available;
- cost is not prohibitive; and
- many of the data elements that you need are currently included in a computer system used

by a county agency which is compatible with your needs,

then computer based analysis is recommended.

What types of analyses should be done?

Univariate analysis. Whether data analysis will be conducted manually or by computer, a key step in the analysis is to examine each variable separately. This is referred to as univariate analysis. One of the results of such analysis is a frequency distribution which presents in tabular form the raw number in one column and the percentage of individuals receiving each score in a second column. A frequency distribution indicates how often each value of the variable appears in the population under study. For example, a frequency distribution for the variable "sex" may show that a population of 200 persons is comprised of 30 females (15%) and 170 males (85%).

Data can also be presented in the form of averages. Three options include the mean (sum of the individual values for each case divided by the number of cases), median (the middle response), or mode (the most frequently reported answer). Averages have the advantage of reducing a large amount of raw data into a single number.

In summary, univariate analysis is a particularly helpful technique for providing a detailed description of your data. However, to be of use the data must be presented in a manageable form. The example which follows illustrates how your data may be presented.

EXAMPLE

Lakeside County has a 20 bed Drug and Alcohol Treatment Center. Working committee members were interesting in seeing the age distribution of those people who resided in the Center during 1981. This information will be used to help assess the needs of the residents. To find out this information, a frequency distribution (the number of individuals in each age category) must be obtained. The frequency distribution for this variable appears in Table 2, on the following page. From this data, the mean age can be calculated. To make the data more manageable and to observe trends in the age distribution, they have been grouped in age ranges in Table 3.

Table 2

FREQUENCY DISTRIBUTION OF AGE OF DRUG AND ALCOHOL
TREATMENT CENTER RESIDENTS

<u>Age</u>	<u>No.</u>	<u>Age</u>	<u>No.</u>	<u>Age</u>	<u>No.</u>	<u>Age</u>	<u>No.</u>
16	1	25	3	34	2	43	1
17	1	26	4	35	2	44	0
18	2	27	1	36	1	45	0
19	2	28	3	37	1	46	1
20	3	29	0	38	2	47	2
21	3	30	0	39	1	48	0
22	1	31	1	40	1	49	0
23	2	32	2	41	0	50	1
24	4	33	1	42	1	59	1

Number of known cases = 51

Number of unknown cases = 9

Mean average age of residents during 1981 = 29.6

Table 3

GROUPED FREQUENCY DISTRIBUTION OF DRUG AND ALCOHOL
TREATMENT CENTER RESIDENTS

<u>AGE</u>	<u>Number of</u> <u>Respondents</u> a/	<u>Unadjusted</u> <u>Percentage</u> b/	<u>Adjusted</u> <u>Percentage</u> c/
17 years and younger	2	3	4
18 to 25 years	20	33	39
26 to 33 years	12	20	23
34 to 41 years	10	17	20
42 to 49 years	5	9	10
50 years and older	2	3	4
Missing	9	15	Missing
Total	60	100.0	100.00

a/ The raw frequencies associated with each value.

b/ The relative frequencies with missing values included in the percentage.

c/ The adjusted relative frequencies with missing values excluded from the percentage base.

Bivariate analysis. If your planning group has the capability of using a computer, the group may be interested in seeing the relationships that exist between some of the variables. This is referred to as bivariate analysis. One way to do this is by crosstabulation analysis. A crosstabulation shows the interrelationships of two or more variables.^{7/} As illustrated in the following example, the results of crosstabulation analysis will provide a useful graphic display which can be used in making presentations.

EXAMPLE

The Lakeside Corrections/Law Enforcement subcommittee collected jail data on sex offenders (male, female) and most recent charge (misdemeanor, felony). If the individual was booked on multiple charges, the most serious charge was recorded. A subcommittee member was interested in seeing how many and what percentage of males were booked into jail for committing a felony during a one month period. The subcommittee chose crosstabulation analysis to answer this question. Computer analysis generated the following data:

Table 4
LAKESIDE COUNTY JAIL
MOST RECENT CHARGE
APRIL, 1981

<u>SEX</u>	<u>MOST RECENT CHARGE</u>		ROW TOTAL
	MISDEMEANOR	FELONY	
MALE	15 <u>a/</u>	59	74
	20.3 <u>b/</u>	79.7	87.1
	88.2 <u>c/</u>	96.8	
	17.6 <u>d/</u>	69.4	
FEMALE	2	9	11
	18.2	81.8	12.9
	11.8	13.2	
	2.4	10.6	
COLUMN TOTAL	17 20.0	68 80.0	85 100.0

a/ Refers to the raw number
b/ Refers to the row percentage
c/ Refers to the column percentage
d/ Refers to the total percentage

In this example it can be seen that during April, 1981, 59 men or 79.7 per-cent were booked for committing a felony.

Multivariate analysis. The planning group may also wish to conduct more complex multivariate analyses in addition to generating percentages, means, and crosstabulations. Additional computer analyses should only be conducted if there is someone with the expertise to choose the appropriate procedure(s) for the type of data collected, understand the meaning of the statistics, and interpret and apply the findings produced.

How do you interpret the data?

Once the results of the analysis are available, each committee should begin to link the findings to the research questions previously formulated. The answers to these questions must take into account the appropriate state laws, county ordinances, jail standards, mandated programs goals, and the political realities. Each subcommittee should then assess this qualitative and quantitative information, thus enabling the members to evaluate the capabilities and/or deficiencies relative to their community's criminal justice system and related human services. Each subcommittee should prepare a written and oral report which will be presented to the entire planning group.

The following example presents some of the research questions, data analysis findings, and conclusions drawn by the Lakeside County Criminal Justice Planning Group regarding jail overcrowding.

EXAMPLE

Upon completion of a data collection plan, the Lakeside County planning coordinator requested that each subcommittee develop a data analysis plan. Table 5 presents a portion of the Corrections/Law Enforcement subcommittee's plan.

After completing a data analysis plan, each subcommittee was responsible for analyzing and providing an initial interpretation of the results. Table 6 presents some of the findings and interpretations from the Corrections/Law Enforcement subcommittee.

Table 5

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S DATA ANALYSIS PLAN

LAKESIDE COUNTY

ISSUE: IS JAIL OVERCROWDING A PROBLEM IN LAKESIDE COUNTY?

Research Question	Data Elements	Relationships to be Examined	Analytical Techniques
Who is in the Lakeside County jail?	Legal status Most recent charge Gender Age Ethnicity Education Residence Employment at time of arrest Marital status Emotional/mental health	The relationship between: <ul style="list-style-type: none"> Legal status and most recent charge (e.g., how many pretrial detainees are charged with a misdemeanor?) Legal status and employment (e.g., how many inmates held pretrial were employed at the time they were arrested?) Gender and most recent charge (e.g., what percentage of males were charged with committing a felony?) 	Frequency distributions will be generated for each data element to provide a profile of who is in the Lakeside County jail Crosstabulation analysis will be used to examine the relationships between certain data elements

Table 5 (continued)

Research Question	Data Elements	Relationships to be Examined	Analytical Techniques
What is the capacity of our jail?	<p>Total capacity</p> <p>Total bookings</p> <p>Net bookings</p> <p>Average daily population</p> <p>Average detention time</p> <p>Number of felony and misdemeanor inmates</p> <p>Number of pretrial and sentenced inmates</p>	<p>The relationships between:</p> <ul style="list-style-type: none"> • number of pretrial detainees and average detention time (e.g., how long is a pre-trial detainee held in jail?) • Average detention time and number of misdemeanor inmates (e.g., what is the average length of time a misdemeanant spends in jail?) <p>Total number of bookings minus net bookings will provide information on the number of persons processed through the jail but not held</p>	<p>Frequency distributions will be generated for each data element to provide a profile of what the jail's capacity is</p> <p>Crosstabulation analysis will be used to examine the relationship between certain data elements</p>

Table 6

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S DATA ANALYSIS
FINDINGS AND INTERPRETATIONS

LAKESIDE COUNTY

ISSUE: IS JAIL OVERCROWDING A PROBLEM IN YOUR COMMUNITY?

Research Question	Findings	Interpretations
Who is in the Lakeside County Jail?	<p>Ninety-five percent of the individuals held in jail were male and between the ages of 18 and 25 years old (58%). The majority of the inmates were non-white (70%) and had, at most, a 10th grade education (58%). Only 25 percent of the individuals had a high school diploma or GED. Seventy-five percent of the inmates resided in Lakeside County and 55 percent held a job (either full or part time) when they were arrested.</p> <p>Pretrial detainees comprised 95 percent of the jail's population, the remaining 5 percent were sentenced offenders convicted of committing a misdemeanor offense. Eighty percent of the pretrial detainees were charged with committing a felony (50% were property crimes; 30% were crimes against persons). The remaining 20 percent of the pretrial detainees were charged with a misdemeanor. Of those charged with a misdemeanor,</p>	<p>Based on the findings about the Lakeside County jail's population, education should be a priority in jail programming decisions. Also, more residents of the county who were employed at the time of arrest and were charged with a minor offense appear to be eligible for pretrial release than are currently released.</p>

Table 6 (continued)

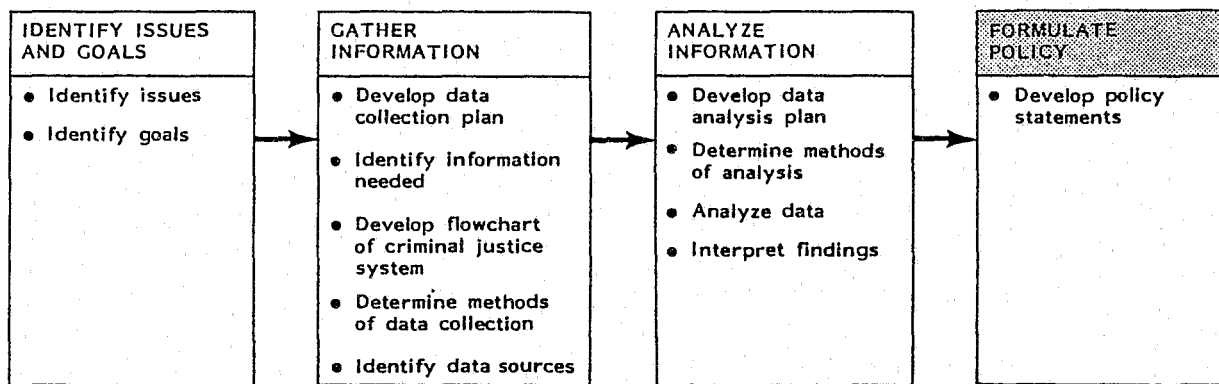
Research Question	Findings	Interpretation
	the majority were charged with disorderly conduct, drunken driving, and petty larceny. Of the total jail population, on the average, 50 percent had a history of emotional or psychological problems.	
What is the capacity of our jail?	The jail is designed to hold 100 individuals; 90 males and 10 females. During 1981, the average daily population was 95, a 17 percent increase since 1977. One thousand three hundred sixty-four individuals were booked into the Lakeside County jail and 764 inmates were actually held during 1981. Inmates were detained in jail for an average of 40 days. Despite local classification standards for the jail, the facility has not provided separate living quarters for inmates displaying psychological or emotional problems. The court recently ruled that within one year jails in the state must provide separate living facilities for inmates displaying psychological or emotional problems.	Although the jail currently has a 5 percent vacancy rate, it faces an overcrowding situation because of the recent court ruling regarding placement of inmates with psychological problems. Alternative placements should be considered for those inmates who were charged with or convicted of lesser offenses.

By the conclusion of the analysis phase of the planning process, your group should be able to address the issues previously raised. Strengths and weaknesses in your community's service delivery system will have been identified, as well as points at which linkages between the criminal justice system and human service agencies may be improved. Areas in which service duplication exists should have been noted. In the following chapter, the planning group will develop policy statements designed to reduce or eliminate the problems identified through this data analysis.

Summary

By the end of this step you will have:

- developed a data analysis plan;
- determined whether the analysis will be conducted manually or by computer; and
- analyzed data and interpreted results.



STEP 4

FORMULATE POLICY

Policy statements are the framework for decisions regarding specific procedures to be undertaken to achieve the goals of your plan. Statements of policy are made only after a careful analysis of alternative approaches for reaching a goal can be made and agreement can be reached as to the most feasible and acceptable approach. As these statements will be based on the data that you have collected and analyzed in previous planning steps, they will provide guidance in designing specific procedures that should be appropriate for implementation.

The working committee must, at this point of the planning process, formulate policy statements that govern how the components of the criminal justice system and related human services will be coordinated and also how alternatives to incarceration will be used in the community. Any other goals you have developed will also require corresponding policy statements.

The task of the subcommittees at this point is to present information about alternative policies which may be adopted to help achieve the goals of the planning process. Each subcommittee should work with the data interpretations it developed in the previous planning step to develop policy statements. The subcommittees will be required to list the practical ways they feel should be considered as methods of dealing with the problems brought to light in the analysis, researching the alternatives to weigh the relative merits of each, and formulating recommendations for the entire planning group.

There are seven basic steps each subcommittee should perform before arriving at its final recommendations.

1. List alternative policies based on the data interpretations.

Each subcommittee should identify the policy options it considers feasible at this point in the policy analysis. Options may be ruled out immediately because of the enormous demands for staff or other resources involved, or because they violate the community's values in some way, or for a number of other reasons. The list should include what appear to be viable options.

2. Determine criteria for choice.

Before decisions can be made regarding policy recommendations, guidelines for choosing between options must be developed. For example, criteria such as program success, measured perhaps in terms of recidivism (for our purposes, rearrest), cost of program options, and specific areas of demonstrated demand for services may all serve as criteria for choosing between types of alternatives. Without predetermined criteria, however, recommendations will be vulnerable to subjectivity.

3. Gather data about the options.

The subcommittees should gather data around the agreed upon criteria. The staff assistant should be prepared to facilitate this step in the subcommittees' work.

4. Compare the options.

Based upon the predetermined criteria, the subcommittees should compare each option, preparing a statement of pros and cons for each.

5. Consider deficiencies in the analysis.

At this point, the subcommittees should note alternatives that were not pursued and why, as well as problems they see in making comparisons among the options that were considered. For example, if cost data appear to be somewhat questionable, this should be noted.

6. Make recommendations.

After examining the pros and cons of the various alternative policy statements and problems in the analysis of their merits, the subcommittees should choose the policy statements they wish to recommend.

7. Prepare a recommendations report.

A report summarizing the criteria used, data gathered, analysis of that data, deficiencies in the analysis, and final recommendations should be prepared to submit to the entire planning group. In the event that consensus could not be reached about a particular issue in a subcommittee, the policy statements under consideration should be reported, with reasons for the indecision presented.

Upon completion in each of the subcommittees of the last step, the entire planning group, both advisory and working committees, should convene to hear the subcommittees' presentations of their reports. A vote should be taken on the recommendations made and final policy statements adopted. The process, as a whole, can be long and

arduous. Be prepared for lengthy discussions and debates before the ultimate adoption of policy.

In the example which follows, several policy statements developed by the Lakeside Planning Group are discussed.

EXAMPLE

Following the analysis of their data, the Lakeside Planning Group determined which issues were most pressing in their community. The following table indicates how the Corrections/Law Enforcement subcommittee interpreted some of their analysis findings and used them to formulate policy statements about jail overcrowding in their community.

Table 7

POLICY STATEMENTS DEVELOPED TO ADDRESS THE ISSUE
OF JAIL OVERCROWDING IN LAKESIDE COUNTY

Interpretation of Data

Based on the findings about the Lakeside County jail's population, education should be a priority in jail programming decisions. Also, more residents of the County who were employed at the time of arrest and were charged with a minor offense appear to be eligible for pretrial release than are currently released.

Although the jail currently has a 5 percent vacancy rate, it faces an overcrowding situation because of the recent court ruling regarding placement of inmates with psychological problems. Alternative placements should be considered for those inmates who were charged with or convicted of lesser offenses.

Policy Statements

Emphasis should be placed on education in jail programming.

The use of pretrial release will be encouraged for County residents employed at the time of arrest and charged with a minor offense.

Every effort will be made to maintain the jail's population within the designed capacity; construction of additional incarceration space will be a last resort.

The policy statements presented in the example above reflect the goals of the Lakeside County Criminal Justice Planning Group and are based on interpretations of the data they collected.

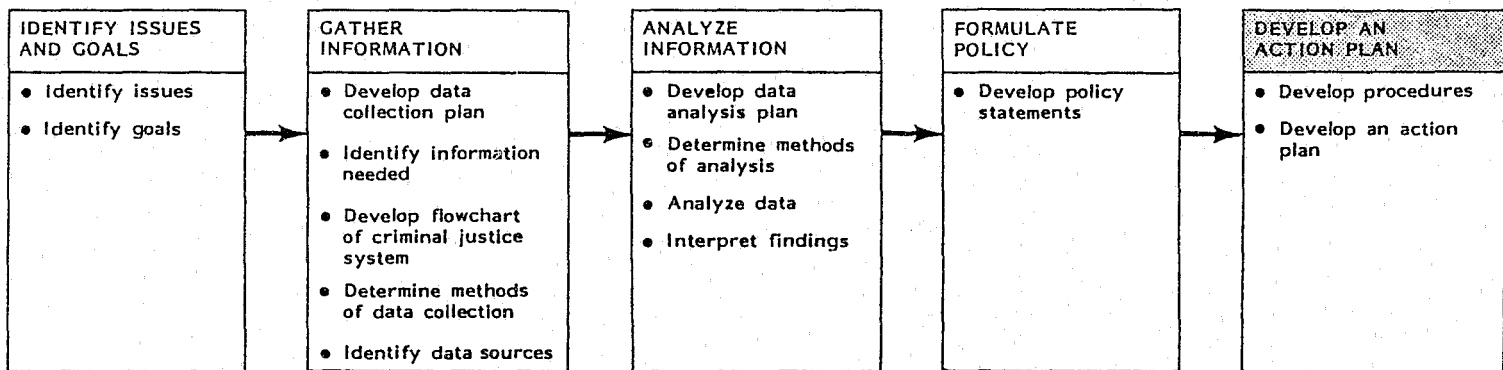
Once you have formulated your policy, examine your goals again to determine whether the statements do, in fact, reflect the intent of the goals. If you discover that the statements you have written do not reflect your goals, you should review your policy statements and make necessary modifications.

Policy statements, once again, are broad statements of intent. In order to translate policy into practice, procedures must be designed to lay out a concrete plan for implementation. The following chapter discusses the relationship between policy statements and procedures.

Summary

By the end of this step you will have:

- developed policy statements regarding the issues about which data were collected and analyzed; and
- reviewed your goals to determine whether or not your policy statements will help achieve them.



STEP 5

DEVELOP AN ACTION PLAN

Once the planning group has determined its goals, analyzed and interpreted relevant data, and written policy statements regarding the issues confronting their community, it is ready to translate these policies into practice. A well written plan of action will provide you with step-by-step procedures for implementing your policies. To the extent that your policy statements are a reflection of your goals, the successful implementation of your plan will lead to the achievement of your goals.

How do you translate policy into action?

An action plan consists of a series of specific procedures designed to implement your policy statements. The amount of time it will take to carry out these procedures should also be determined and included in the action plan. Developing procedures may appear to be a tedious task, but it will prove to be crucial in the implementation of the planning project.

In an effort to facilitate the process of translating policy into procedures, the working committee may consider the following steps:

1. Once the final policy statements have been adopted, the subcommittees should take their respective policies and translate them in procedures.
2. Each subcommittee should list potential procedures for its policy statements, including possible resources for implementation, barriers to adoption of the plan, and strategies to overcome these barriers. The recommended procedures and time frame for their implementation should be included.
3. After each subcommittee has completed this process, the entire planning group should reconvene to discuss the procedures and make the necessary modifications.

There are a number of procedures which may be developed to address a particular policy statement. In selecting the most desirable procedures to implement a policy statement, working committee members should consider the following:

- degree to which procedures help implement the policy statement;
- extent to which procedures are philosophically compatible with the goals;
- costs associated with implementation of the procedure;
- amount of time required to implement the procedure; and
- feasibility of implementing the procedure given potential resistance.

The example which follows presents three procedures intended to implement a policy statement developed by the

Corrections/Law Enforcement subcommittee. Resources available for implementation, barriers to implementation, and strategies to overcome these barriers are identified for each procedure. Finally, the entire planning group chose the procedures believed to contribute the most toward achievement of the goals and established the time frame for implementation.

EXAMPLE

The Lakeside County working committee again broke into subcommittees to develop procedures for the policy statements previously written. For each procedure, the subcommittees identified resources available for implementation, potential barriers, and strategies to overcome these barriers. Table 8 presents several procedures developed by the Corrections/Law Enforcement subcommittee and the procedures recommended for adoption.

Table 8

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S
PROCEDURE DEVELOPMENT PROCESS

LAKESIDE COUNTY

POLICY STATEMENT	PROPOSED PROCEDURES	RESOURCES AVAILABLE	BARRIERS	STRATEGIES TO OVERCOME BARRIERS	RECOMMENDATION	TIME FRAME
Every effort will be made to maintain the jail's population within the designed capacity; construction of additional incarceration space will be a last resort.	The Lakeside County Sheriff's Department will use citation release for cases involving traffic violations, petty larceny, shoplifting, and disorderly conduct. Exceptions to citation release are hit and run, manslaughter, and drunken driving violations.	Sheriff and Patrol Division Lieutenant State and federal crime information records	Patrol officers Community Two County Council members	Disseminate information about potential legal and social ramifications of jail overcrowding Form a network of advocates to help disseminate the information and build support If relatively small changes in the procedure will insure greater support, the group should consider compromise.	The procedure was recommended for adoption. The Lakeside County Sheriff's Department will use citation release for cases involving traffic violations, petty larceny, shoplifting, and disorderly conduct. Exceptions to citation release are hit and run, manslaughter, and drunken driving violations.	Implemented within 6 months. The procedure will be monitored and changes made as necessary.

Table 8 (Continued)

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S
PROCEDURE DEVELOPMENT PROCESS

LAKESIDE COUNTY

POLICY STATEMENT	PROPOSED PROCEDURES	RESOURCES AVAILABLE	BARRIERS	STRATEGIES TO OVERCOME BARRIERS	RECOMMENDATION	TIME FRAME
	Upon reaching 95 percent of the jail's capacity, the jail administrator should notify the court, law enforcement, and county council. If within 15 days the population has not declined, the records of sentenced persons will be reviewed. Those persons who are first or second offenders convicted of a misdemeanor and who are within 30 days of completion of their sentence, will be released.	Jail staff to review records and process inmates leaving the system.	Lack of post-confinement alternatives Judiciary Community	Disseminate information about potential legal and social ramifications of jail overcrowding Form a network of advocates to help disseminate the information and build support If relatively small changes in the procedure will insure greater support, the group should consider compromise. Locate funding for post confinement alternatives	Given the amount of probable opposition to a reduction in sentence and the small degree to which such a procedure would affect the overall jail population, this procedure was not recommended for adoption.	

Table 8 (Continued)
CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S
PROCEDURE DEVELOPMENT PROCESS
LAKESIDE COUNTY

POLICY STATEMENT	PROPOSED PROCEDURES	RESOURCES AVAILABLE	BARRIERS	STRATEGIES TO OVERCOME BARRIERS	RECOMMENDATION	TIME FRAME
	Persons charged with offenses requiring bail under \$1,000 will be required to post a 10 percent cash deposit.	Court clerks	Judiciary Prosecutors Community	Disseminate information about potential legal and social ramifications of jail overcrowding and failure to appear rates Form a network of advocates to help disseminate the information and build support If changes in the eligibility requirements will insure greater support, the group should consider compromise.	This procedure was recommended for adoption. Persons charged with offenses requiring bail under \$1,000 will be required to post a 10 percent cash deposit.	Implemented within 3 months. The procedure will be monitored and changes made as necessary.

Despite the care taken to translate policy into procedures, actual implementation of a plan of action is likely to encounter some resistance. This resistance may come in many forms, such as the Department of Social Services Mental Health Program's refusal to accept violent offenders or taxpayers' disenchantment with paying for a new group home. A typical example of political resistance is illustrated by the situation where a council member, when presented with data substantiating a particular position, faces the dilemma of answering to a constituency who has previously expressed opposition to this position. As planning group members with data to support your position, you must be willing to address the various constituencies directly. This may require a planning group member's attendance at council meetings and/or being placed on the council meeting's agenda.

How can the community's views be heard?

To make the transition from written procedures to their implementation, the community-at-large must be provided opportunities to express its reaction to the proposed procedures. Possible forums for this exchange include:

- public meetings to discuss the planning group's proposal;
- opening planning group meetings regularly to the public; and
- individual and/or collective meetings--agencies that will be directly affected by the implementation of the policies should be provided the chance to meet with planning group representatives.

Comments made during these discussions should be recorded and incorporated, whenever possible, into the planning group's recommended policies and procedures. Newspaper and other media coverage will also help keep the public advised of the planning group's activities.

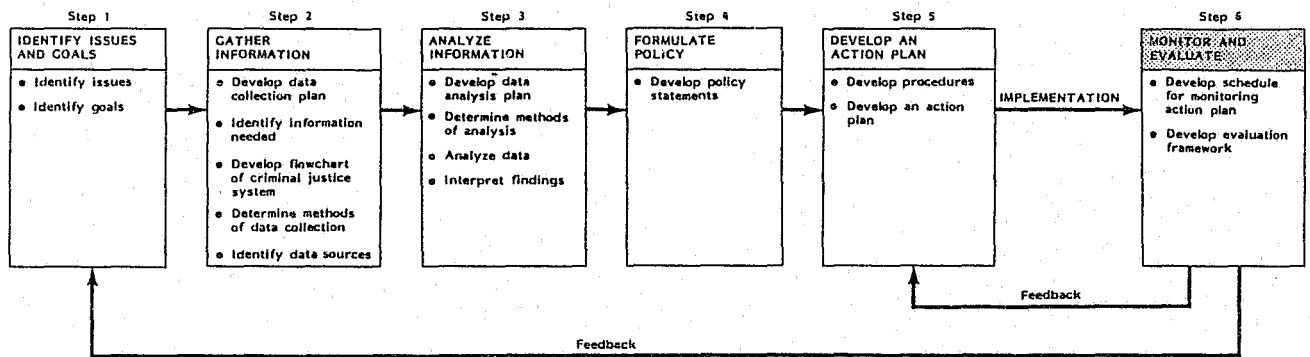
After the policies and procedures have been finalized and incorporated into a written plan of action, the planning coordinator should present the action plan to the appointing authority. The action plan should include the data analysis methodology and findings, and recommended policies and procedures.

Although the actual evaluation of your action plan will not occur for some time, the working committee must immediately begin to identify what should be evaluated, data which are needed, and so forth. The chapter which follows discusses the evaluation process and the importance of monitoring the progress of your plan.

Summary

By the end of this step you will have:

- written procedures;
- identified available resources, barriers, strategies to overcome these barriers, and a time frame for implementing the recommended procedures;
- solicited community feedback regarding the proposed procedures; and
- presented an action plan to the appointing authority.



STEP 6

MONITOR AND EVALUATE

The planning process requires feedback to make it effective. Without feedback, it is difficult to gauge whether the intended results of the plan are, in fact, being achieved. There are two methods for obtaining this feedback. Monitoring is an ongoing activity designed to track the progress of the plan's activities. It provides information, collected at regular intervals, regarding whether or not activities are being performed according to schedule and what modifications in the plan are necessary to accomplish the goals.^{8/}

The second method, evaluation, is an assessment of the impact of implementation of the plan. It focuses on the outcomes of the various implementation activities or the quality of the performance of those activities. The data that are analyzed in an evaluation are cumulative and, therefore, provide a measure of the overall results of implementation.^{9/}

Monitoring

Monitoring provides a means for comparing how far you have progressed at a given point with how far you had planned to progress. A schedule of monitoring activities should be built into your action plan. At predefined intervals, a report on the progress of the implementation activities should be written. Some of the questions you may want to address in the report are:

1. What activities were scheduled to occur during this period? What activities actually occurred?
2. What did the activities that were performed accomplish toward achieving the goals set for the plan? How can their accomplishment be measured?
3. For those activities that were not performed, what prevented them from occurring? What is being done to resolve the problem(s)?
4. Are the resources allocated for implementation adequate up to this point? If not, what is needed? Is there a surplus at this point? If so, can it be reallocated to be used more effectively?
5. Are there any modifications to the plan that seem necessary in light of the answers to the above questions?

By answering these questions on a regular basis, it becomes easier to maintain control over the implementation of your plan. In the event that questions arise regarding the plan's activities, you will have written documentation available about what has occurred for anyone who wishes to review it.

Evaluation

The purpose of evaluation is to measure the results of your action plan against the goals you set out to accomplish.^{10/} There are a number of types of evaluations that may be undertaken, but those most relevant to the concerns of this planning process focus on impact assessment and efficiency of utilization of resources. Some of the basic questions you will want to answer in your evaluation are:

1. Is the plan effective in achieving its intended goals?
2. Can the results of the implementation of the plan be explained by some alternative process that does not include the plan's activities?
3. Is the implementation process having some effects that were not intended?
4. What are the costs involved in implementation of the plan?
5. Does the plan make efficient use of resources compared with an alternative use of resources?

What is the evaluation process?

To determine whether or not your action plan had an impact on your criminal justice system and related human services, it will be necessary to have representatives from both criminal justice and human services help design the evaluation and determine the information that must be collected. In large part, the evaluation will be dependent upon the updating of data initially collected in the planning process. Such data are referred to as baseline data.

The evaluation process is basically composed of the following steps:

1. Determine what should be evaluated. This step entails first formulating the questions that need to be asked (e.g., Are programs R and S having an impact on the way alternatives to incarceration are used? What components of the system are having more success in achieving the goals? How well is the program achieving results X and Y with groups A and B? Is program E doing better than program F in reaching their common goals?) It is important that your working committee clearly identify the conditions that were assumed to exist, the activities intended to occur, and their anticipated outcomes. A well delineated evaluation framework is essential for assessing the impact your action plan has on your goals.
2. Develop measures of the impact of the plan. Goals must be clear, specific, and above all, measurable. Once the goals have been identified, some criteria for their successful attainment must be established. If your goal is to "maximize the coordination and cooperation among criminal justice system and related human service agencies", your working committee must develop indicators to measure improved coordination and cooperation. This may mean, for example, increasing the percentage of referrals from criminal justice agency M to human service agency P from the present 14 percent per year to 30 percent per year. Improved coordination and cooperation could also be defined as a 25 percent increase in the number of times in a one month period that the Director of Admissions for a Mental Health Program talks, either in person or by telephone, to the Jail Administrator. Measures adopted by your planning group must be reliable and valid.11/
3. Examine other factors that may impact whether or not the goals were achieved. External factors which are beyond the control of your plan must be taken into account. Unanticipated events such as changes in legislation, the availability of funds from particular sources, or changes in the demographics of the community may alter the impact of your plan.

4. Collect the data you will need to measure impact. Once the measures of impact have been developed, you will need to collect the necessary data to measure the effects your plan has had on achieving your goals. Baseline data will be compared with data collected during the evaluation. This comparison may be supplemented with data necessary to more fully answer the evaluation questions.
5. Compare observed impact with intended impact. In this step, discrepancies that surfaced when comparing the expected results with those indicated in the data are revealed.

After completing the above steps, the resulting information and its interpretations must be translated into recommendations. These recommendations should be used to refine or modify your action plan. Necessary changes should then be made and, eventually, the evaluation process should be repeated. Evaluation findings should be fed back into the planning process to improve the effectiveness of the plan.

EXAMPLE

The Lakeside Criminal Justice Planning Group has completed developing their action plan and is ready to begin to implement it. Prior to implementation, the working committee decided it must consider how the plan would be evaluated. The table on the following page illustrates how the committee began to develop their evaluation framework.

<p>Table 9 Lakeside Criminal Justice Planning Group Evaluation Framework^{a/}</p>			
Goal	Anticipated Result	How will this Result be Measured?	Data Needed to Document the Change
To maximize coordination and cooperation among criminal justice and human service agencies	Increased appropriateness of referrals from criminal justice agencies to human service agencies	Number of referrals deemed appropriate by agency personnel Number of referrals then referred elsewhere	Survey of agency personnel Intake records
	Increased information sharing between agencies	Interagency meetings - frequency - attendance Telephone contact - frequency Written communication - frequency	Survey of agency personnel Minutes from meetings Telephone logs Correspondence files
	Increased knowledge by criminal justice and human service personnel of services offered in their community	Number of training sessions dealing with community services Number of times a representative from one agency makes a presentation to another agency	Survey of agency personnel Training manuals
^{a/} The Lakeside Criminal Justice Planning Group's working committee completed this chart for all of its goals.			

Was the evaluation process effective?

An assessment of the evaluation process should be made to determine if the information collected in the evaluation was appropriate and sufficient to describe the impact of the plan. The measures used also should be examined to determine their reliability and validity in retrospect. Several considerations to make in assessing your evaluation process follow:

1. COMPLETENESS -
Did the evaluation address all the evaluation questions?
2. EFFICIENCY -
Did the evaluation take the least expensive and intrusive approach?
3. FOCUS -
Did the evaluation yield more information than was needed?
4. UTILITY -
Will the findings of the evaluation result in significant plan improvement?
5. MEASUREMENT -
Were the evaluation measures appropriate and valid?
6. DISSEMINATION -
Will the results of the evaluation be made available to all decision makers that could profit from them?

The above information will be helpful in designing future evaluations and in gauging the validity of the results of the current evaluation. These guidelines will assist you in focusing your efforts and obtaining the maximum amount of useful information from your evaluation.

Summary

By the end of this step you will have:

- developed an outline for writing a progress report and established a schedule for monitoring your action plan; and
- developed an evaluation framework to guide you in assessing the impact your action plan has on the achievement of your goals.

CASE EXAMPLE

The case example which follows presents a hypothetical County, Lakeside, and its situation regarding use of and demand for criminal justice and related human services. While the example is hypothetical, the demographic characteristics and number and types of human and criminal justice services are based on those of a midwestern county about which data were collected.

In the narrative which follows, the Lakeside planning group is created and begins to work on the project of exploring the use of alternatives to incarceration and improving coordination and cooperation between criminal justice and human service agencies.

The planning process:

- Step 1: Identify issues and goals;
- Step 2: Gather information;
- Step 3: Analyze information;
- Step 4: Formulate policy;

Step 5: Develop an action plan; and

Step 6: Monitor and evaluate

outlined in this workbook was utilized by the planning group. The case example leaves the planning group at the point of implementation of its action plan, with evaluation to follow two years later.

Naturally, the case example cannot hope to reflect your county's specific situation but many elements remain similar from county to county. Whether or not the Lakeside County is representative of your particular circumstances, it is always helpful to illustrate how a county could respond to its problems. Thus, your planning group can use Lakeside County as a reference point when addressing your county's needs.

Background

Lakeside County is primarily a suburban/urban county with two large cities within its boundaries. Its 461 square miles are populated with 261,617 persons, 85 percent of whom are white and 15 percent of whom are nonwhite. The average per capita income for those persons is \$7,705, typically earned through the electronics, plastics, insurance, and auto manufacturing industries. The County's government is headed by one County Administrator and a five person County Council.

Lakeside County has experienced a 15 percent increase in its population in the past decade and anticipates roughly

a 12 percent increase in the coming decade. The jail's population over the past 5 years reflects a 17 percent increase and, because of the 45 percent increase in the number of persons arrested for breaking and entering and 20 percent increase in the number of armed robbery arrests during that period, it is expected that the jail population will continue to rise. The jail, whose capacity is 100 beds, is currently operating at the maximum advisable capacity, housing 95 persons and leaving the optimal 5 percent vacancy rate.

The state in which Lakeside County is located is experiencing an alarming overcrowding problem in its state prisons. Many counties are housing state prisoners in their jails, and Lakeside County has been contacted to do the same. The jail administrator has warned the County Council about the overcrowding situations and corresponding litigation experienced in neighboring counties which have accepted the state prisoners in exchange for the high per diem rates paid for their keep. The state situation has continued to worsen, however, and the County Council has decided that an exploration of alternative means of handling persons passing through the jail should be undertaken. The County has no existing post confinement alternatives, such as halfway houses and work release, to help reduce some of the jail's burden. Therefore, those alternatives will be especially considered for their possible incorporation into the scheme of services offered to persons passing through the criminal justice system.

Establish the Planning Group

The County Council has decided that the most effective way of managing the study is to establish a task force. Uncertain as to who should be included in the task force, the County Council secured funds to hire a planning coordinator and staff assistant. After interviewing several individuals, a full time planning coordinator was hired. This individual had prior planning experience and had served as a chairperson on several community projects. The County Council informed the planning coordinator that the two primary goals of the planning process were:

1. To explore the appropriate use of alternatives to incarceration.
2. To maximize coordination and cooperation among criminal justice and human service agencies.

A plan to meet these goals was to be developed within nine months.

Once hired, the planning coordinator immediately hired a full time staff assistant who would work with her and the planning group members. Together, the planning coordinator and staff assistant began to identify key individuals in Lakeside County who they felt should be invited to participate in an advisory capacity on the planning group. These individuals would form the advisory committee for the planning effort.

In contacting potential advisory committee members, the planning coordinator attempted to obtain representation from all agencies involved with the delivery of human and

criminal justice services. Obtaining representation from the judiciary was difficult, but an influential District Court judge agreed to participate as regularly as his schedule would allow. The County Finance Director also agreed to take part in the planning group's activities. The Chief of Police and the Sheriff expressed an interest in the endeavor, since the increasing numbers of certain crimes had stimulated a great deal of criticism from the County's residents. Many residents had expressed the feeling that nothing was being done to handle the growing crime rate. The Prosecutor, Public Defender, and Jail Administrator also agreed to join the advisory committee, having similar feelings because of the parallel increase in caseloads they were experiencing.

The administrators of the Citizen Dispute and Pretrial Release Programs, and the Restitution Program's Project Director contacted the planning coordinator themselves before she had the opportunity to contact them, eager both to attack the problem and increase the credibility of their programs. They felt that many police and court personnel tended to discredit these programs, not because of a poor track record but because of an underlying distrust for non-traditional means of handling accused and convicted persons. The Directors of Probation and Parole also responded favorably when contacted regarding the project.

The Director of Social Services was wary upon being contacted of the political implications of her participation

in such a group. Her position was a difficult one since, while certain human service programs relied upon criminal justice client referrals for their existence, others were overcrowded with general County population clients and yet were constantly being challenged by the County Council for being uncooperative with the criminal justice agencies. Because of these concerns, however, she was convinced to participate after she had arranged for the four directors of the Drug and Alcohol Treatment Centers to be available if she needed additional support. Directors of private human service programs were also contacted.

Representatives from the County Crime Prevention Watch and Jail Moratorium groups responded to the article the planning coordinator had placed in the local newspaper to publicize the task force's activities to citizen groups. A representative from the NAACP also responded, being particularly concerned about the overrepresentation of minorities in the jail.

After feeling reasonably satisfied that the necessary decision makers were represented in the advisory committee, the planning coordinator scheduled a meeting at the County library, a location central to all participants. Concerned about the large size of the group and wide variety of interests represented, she carefully planned an agenda to help move the meeting along.

When the advisory committee met, the planning coordinator immediately became aware of many differences in values

and opinions, and of some distrust among some of the advisory committee members. She was able, however, to present some background on the planning process and discuss the missions and goals of the group. She explained that the planning group would be comprised of two committees -- the ADVISORY COMMITTEE in which they would participate, and a WORKING COMMITTEE. She asked each advisory committee member to appoint a representative from his/her agency to serve on the working committee. The appointee would have to be available to serve on subcommittees and attend all meetings. There would be several joint meetings with the working and advisory committees. The planning coordinator explained that after both committees settled some preliminary matters, joint meetings would be held at the end of each planning step. The advisory committee meeting was adjourned, with each member given the task of submitting an appointee's name to the planning coordinator within one week.

At the end of the week, the planning coordinator and staff assistant were able to contact the working committee appointees and call a meeting for the beginning of the following week. The working committee was provided with a reiteration of the planning coordinator's presentation to the advisory committee regarding the planning group's mission and the planning process to be followed.

The planning coordinator posed the following questions to the working committee members for their consideration.

1. What expectations does the County Council have?
2. To accomplish our mission, what types of information should we collect?
3. Should any other agencies or individuals in the community be involved in the planning process?
4. How long will the planning process take to complete?
5. Will assistance be necessary from special consultants, student interns, and/or volunteers?
6. What will be done with the recommendations of the planning group?

The working committee determined that the County Council expected them to assess the current delivery of criminal justice and related human services in their community and develop a plan to improve their delivery. The planning coordinator also pointed out that the Council expected to be kept abreast of the planning group's activities and be provided with progress reports periodically, along with any other major products the group developed.

The working committee identified several major areas for data collection. They included police, court, and corrections data, as well as County budget and human service program data. It became evident that they needed to know what criminal justice and human service programs currently existed, their capacities and types of services offered. The information, once collected, would be used to identify gaps in services, overlap and/or surplus of services, if

such existed, and what persons might benefit from placement into alternative programs.

Working committee members generally felt that the planning coordinator had done an excellent job of obtaining the necessary representation in the working and advisory committees. Concern was expressed, however, that the public be kept advised of the entire planning group's activities through media coverage and open meetings. To ensure citizen participation, it was agreed that, at a minimum, several joint meetings between advisory and working committees would be announced to the public and opened for their attendance.

After being reminded that the County Council had previously specified that a plan be developed within a nine month period, the committee agreed on a twenty-one month implementation period followed by a six month evaluation period. After outlining the steps of the planning process, the group came up with the timeline for their activities with appears on the following page.

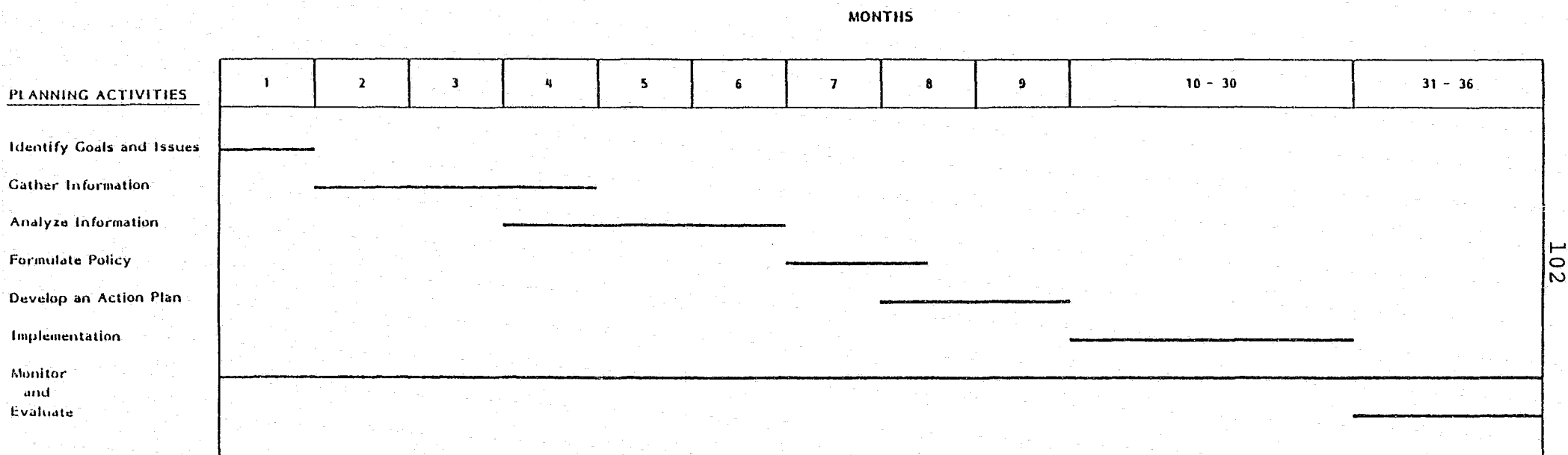


Figure 2: TIMELINE FOR PLANNING ACTIVITIES

The working committee thought that the best method for identifying financial and human resources was for each member to explore the availability of co-workers to help with specific tasks and the possibility of obtaining funding for consultants and materials from their own agencies or organizations. Members were asked to report their findings to the working committee by the following meeting. In general, the working committee was not optimistic about the availability of additional resources and hoped that they would not be required. If needed, the community college located in Lakeside County would serve as a good source for recruiting student interns and possible consultants. The Jail Moratorium representative also stated that some of the members of her group might be willing to volunteer their time if additional help was needed.

In the discussion of the last question, "What will be done with the recommendations of the planning group?", the working committee expressed concern regarding whether or not its recommendations would actually be implemented. The planning coordinator reminded them that because the planning group had been convened by the County Council, they were assured of the Council's interest in their plan. However, it would be important to keep Council members advised of the group's activities. Upon approval by the County Council, the planning group's final report would be disseminated to all directors of agencies affected by the recommendations.

After answering the questions posed by the planning coordinator, the working committee agreed to end its meeting. Eager to get started with the planning process, they arranged to meet the next week at the library. The planning coordinator organized her notes from the meeting and began to finalize the agenda for the following week.

The working committee reconvened at the scheduled time. The planning coordinator explained that, to facilitate the committee's activities, she and the staff assistant had devised a way to divide the working committee into subcommittees. The subcommittees were divided along lines intended to make the data collection and analysis tasks more manageable. Four subcommittees were formed:

1. County Government

This subcommittee included one representative from each of the following:

- County Manager/Administrator's Office
- County Commissioner's Office
- County Planning Department
- County Finance Department
- Citizen's Group/Interested Citizen

2. Corrections/Law Enforcement

This subcommittee included one representative from:

- County Jail
- County Corrections Program
- Private Corrections Program
- Probation Department

- Parole department
- Sheriff's Department
- Police Department
- Citizen's Group/Interested Citizen

3. Courts

This subcommittee included one representative from:

- Judiciary
- County Attorney's Office
- Public Defender's Office
- Citizen's Group/Interested Citizen

4. Human Services

This subcommittee included two representatives from:

- Public Human Service Agencies
- Private Human Service Agencies
- Citizen's Group/Interested Citizen

Identify Issues and Goals

After subcommittee assignments were completed, the planning coordinator explained that, at least until the committee was ready to begin collecting data, the working committee would continue to meet as a whole. Their first task, which they would begin during this meeting, was to identify key issues related to the County's criminal justice and human service agencies. The planning coordinator instructed them to break into their subcommittees to begin the discussion. The subcommittees held several meetings to discuss

important issues related to the delivery of services in their County. When the subcommittees had generated lists of pertinent issues, the working committee as a whole met and launched into a discussion of the issues it saw were related to exploration of alternatives to incarceration and improvement of the coordination of criminal justice and human services.

The identification of important issues in the County required several meetings and a great deal of discussion. The working committee identified many issues that were problematic in their community. After listing and setting priorities among the issues, there appeared to be five basic issues that everyone agreed on as requiring attention in the planning effort. The issues were phrased in the form of the following questions regarding Lakeside County:

1. Is jail overcrowding a problem?
2. Is widening the net of social control a problem?
3. Does the range of alternative services match the underlying need for services in the County?
4. What will it cost to continue to provide the present level of services?
5. Are criminal justice and human service staff familiar with the operations of related services provided within the County?

In identifying important issues, a number of things became apparent about Lakeside County. In discussing jail overcrowding, for example, it was obvious that various committee members held differing opinions on the definition of

overcrowding. The Jail Moratorium group representative felt that, while the jail was not overcrowded at the moment, overcrowding in the state prisons, coupled with the County's projected population growth, were threatening to create a severe overcrowding problem in the jail. The Sheriff's representative, however, felt that everyone in jail was there for a reason, and that there were many more people who should be in jail who were not. Why, he asked, should anyone concern himself with these individual's comfort. The real problem was in apprehending and then finding space for all of the people who should be in jail. If that involved building another jail, then that was what should be done, but all of the concern committee members were expressing about living conditions in the jail was silly. What were they there for, he asked. The consensus of the committee was that they should act on the premise that Lakeside County jail did have an impending overcrowding problem.

It became apparent in discussing the widening of the net of social control issue, that the alternative programs that existed, particularly restitution and the Drug and Alcohol Treatment Centers, had been severely criticized for contributing to the increase in the load on the criminal justice system. Rather than serving as more effective placements than incarceration, it was thought that they were not handling persons who would have gone to jail had the programs not existed. These programs may have been

handling persons who never would have come into the system anyway or at most would have been placed on probation.

Related to widening the net was the question of whether or not the range of alternatives available matched the underlying need for services in Lakeside County. The County Prosecutor's Office maintained that services such as alcohol and drug use counseling should be consolidated, since there were so many similar programs that all were not being fully used. Furthermore, quality control was difficult if not impossible. The Treatment Alternatives to Street Crime (TASC) Program's Assistant Director interjected at this point that, in reality, most of the programs that existed were necessary, however, better coordination was needed to cut down the number of inappropriate referrals.

The County Planning Department representative then brought up the issue of the cost of maintaining the current number and level of program services, including the jail. First, he stated, he had recently been talking with an architect about the cost of building a new jail and, given the type of structure various County officials had been discussing, the cost per bed would probably be close to fifty thousand dollars, and that was without taking into account operations costs thereafter. After hearing that, he said, he had taken a preliminary look at the County budget to get an idea of how much it cost annually to support the current jail and all criminal justice and related human service programs. It looked as though the County was going to have a

difficult time supporting its current level of service over the next five years, he explained, although he had only taken a cursory look at the figures. It seemed to him, however, that it would be very difficult to support even the operations costs of a new jail, and that the working committee had better give some thought to alternative means of dealing with the problem.

The Jail Moratorium representative mentioned that, while a number of counties had built new jails or wings, these facilities were filled by the day they opened. It would always be easy to find persons to fill the jail, she pointed out, but perhaps the real solution was to improve the efficiency with which persons are processed through the system and to find more appropriate methods of handling them than incarceration. The Pretrial Release Program Deputy Director added that, if the release criteria for such options as release on recognizance were relaxed, many more people could be released prior to trial without negative repercussions. Releasing those persons would have an impact on the amount of space needed in the jail.

The Captain from the Sheriff's Department then voiced his feeling that, while the system could certainly be improved, it would not help the community to release persons, whether pretrial or sentenced, who commit additional crimes. His officers, he added, found it very discouraging to make arrests and then find the arrestee back on the street committing another crime.

A representative from the League of Women Voters spoke up to ask if the representatives who were present from community programs felt that the staff in their programs were familiar with all of the County's criminal justice and human service programs. It seemed, she stated, that there was a communication problem if so many inappropriate referrals were being made. Remedying that weakness, she felt, might allow for better usage of those programs and, possibly, alleviate some of the pressure on the jail.

The representative from the Director of Social Services Office replied, stating that it was very difficult to keep all of the staff members in all of the programs advised of the other programs in the community, the types of services they offered, and the criteria they employed in accepting referrals. One of the largest problems, she felt, was the lack of communication between criminal justice and human service agencies.

The debates regarding problematic issues in the County continued at great length, but, when it seemed that no new issues were being presented, the planning coordinator called an end to the discussion. From the issues raised, she pointed out, the planning group should be able to develop goals to guide the planning process. The issues discussed certainly tied in with the goals the County Council had given them, the County Planning Department representative noted. The planning coordinator agreed and the staff assistant wrote the goals down for the group to see:

- 1) to explore the use of alternatives to incarceration, within a range considered acceptable and safe by the County, and,
- 2) to maximize the coordination and cooperation among the County's human service and criminal justice agencies.

The planning coordinator asked if there were any other goals that the planning group would like to include, but the consensus of the group was that the County Council's goals would be more than enough to tackle.

The planning coordinator explained that the next step in the planning process would be to gather information about the issues and goals the group had chosen. This information would be used to verify or contradict the group's perceptions of the issues and to provide further information upon which they could base their plan of action to accomplish their goals.

This step would require breaking into subcommittees so that the work could be divided and made more manageable. The subcommittees would meet jointly for the next few weeks until the actual data gathering activities began.

Gather Information

The staff assistant explained importance of data collection in more detail at the next meeting. He stressed that the data the working committee members collected should pertain to the issues they had identified as relevant to the goals. Importantly, this data would later serve as the baseline information in the evaluation of the

action plan. Therefore, if the data collection efforts were not carefully planned at this point, not only would time and effort be wasted, but evaluation might be severely hampered.

Each subcommittee was given the task of developing a data collection plan for the data for which it was responsible. The Courts subcommittee was to focus on court data, the Corrections/Law Enforcement subcommittee on corrections and law enforcement related data, the County Government subcommittee on county demographics and the budget, and the Human Services subcommittee on human service program related data. The most important issues identified previously would serve as the foundation for the data collection plan.

The staff assistant requested each subcommittee to break down the issues relevant to the types of data it was dealing with into research questions. If they took the time to develop the issues further into specific research questions, it would be easier to identify the particular data elements involved in the issues. He asked the subcommittees to provide five categories of information in their plan: (1) the research questions, (2) data elements, (3) the appropriate levels of measurement for the data elements needed to answer the research questions, (4) the methods of data collection to be used, and (5) where the data could be obtained.

The subcommittees began their task, which required several meetings before they considered their data collection plans complete. The table which follows shows part of the data collection plan developed by the Corrections/Law Enforcement subcommittee to address the issue of jail overcrowding.

Table 10

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S DATA COLLECTION PLAN

LAKESIDE COUNTY

ISSUE: IS JAIL OVERCROWDING A PROBLEM IN LAKESIDE COUNTY?

Research Question	Data Elements	Levels of Measurement	Methods of Data Collection	Where Data can be Obtained
Who is in the Lakeside County jail?	1. Legal status	a. Pretrial b. Sentenced	These data elements will be collected from existing records (secondary data collection)	Jail records
				Police records
	2. Most recent charge	a. Felony (by actual charge) b. Misdemeanor (by actual charge)	A random sample of inmates will be used for each year data are collected	Court records
	3. Gender	a. Male b. Female		
	4. Age	a. Actual age		
	5. Ethnicity	a. Black b. White c. Asian d. Hispanic e. Other (specify)		
	6. Education	a. Last grade completed		
	7. Residence	a. Lakeside County b. In-state c. Out-of-state (specify)		

Table 10 (continued)

Research Question	Data Elements	Levels of Measurement	Methods of Data Collection	Where Data can be Obtained
	8. Employment at time of arrest	a. Full time b. Part time c. Unemployed d. Receiving unemployment benefits		
	9. Marital Status	a. Single b. Married c. Separated d. Divorced		
	10. Emotional/Mental Health	a. Past treatment for emotional/psychological problems b. Present treatment for emotional/psychological problems		
What is the capacity of our jail?	1. Jail capacity	a. The number of beds the jail has according to design specifications - number of beds for males - number of beds for females	These data elements will be collected from existing records (secondary data collection) A random sample of inmates will be used for each year data are collected	Final architectural plans State laws related to jail capacity State/county jail standards
	2. Total bookings	a. Per year		Jail records Police records

Table 10 (continued)

Research Question	Data Elements	Levels of Measurement	Methods of Data Collection	Where Data can be Obtained
	3. Net bookings (persons housed)	a. Per year		
	4. Average daily population	a. Total number of days served by all prisoners in a jail per year divided by 365		
	5. Average detention time	a. Total number of days served by all prisoners in a jail per year divided by the number of prisoners committed during that year		
	6. Number of felony and misdemeanor inmates	a. Number of felons per year b. Number of misdemeanants per year		
	7. Number of pretrial and sentenced inmates	a. Number of pretrial inmates per year b. Number of sentenced inmates per year		

After the data collection plans were discussed by the entire working group and finalized, the planning coordinator suggested that a flowchart of the criminal justice system be constructed to represent the step-by-step progression of a person through the system. The first step in that process, she stated, required the listing of all criminal justice agencies and programs in the County, including law enforcement, prosecution, defense, courts, and corrections. This task was delegated to the Courts and Correction/Law Enforcement subcommittees. The Human Service and County Government subcommittees were given the task of preparing a list of all Lakeside County's human service agencies and programs. They were to identify the services that appeared to be useful to criminal justice agencies by placing an asterisk next to them in the list. These lists of criminal justice and human service programs appear in Tables 11, 12, and 13. The human services lists were held for discussion at a later point, following the actual development of the flowchart.

Table 11

CRIMINAL JUSTICE PROGRAMS
LAKESIDE COUNTY

<u>Program</u>	<u>Description</u>
1. Jail: a. GED program b. Psychological counseling, including group therapy.	The Lakeside County Jail is a 100 bed facility. The major programs offered in the jail are a high school equivalency degree program and psychological counseling.
2. Alternatives to prosecution: a. Citizen Dispute Program b. Prosecutorial screening	The Citizen Dispute Program provides mediation as an alternative to court. In rare cases, the prosecutor may screen out a case because he/she feels it does not merit court intervention. This is used only for minor infractions.
3. Alternatives to pretrial confinement: a. Financial options b. Pretrial Release Program c. Citation release	Financial options include a bail schedule for misdemeanants and a 10 percent cash requirement for felons. A Pretrial Release Program screens for release on recognizeance and third party custody. A citation, which is similar to a summons, is used by police for traffic violations.
4. Sentencing alternatives: a. Community service order and/or monetary restitution b. Probation c. Suspended sentences	The Department of Probation handles the County's restitution program. This includes community service work and monetary restitution. The Department of Probation also supervises individuals placed on probation. Suspended sentences are sometimes used for cases involving drunken driving.
5. Post confinement alternatives a. Parole	The Department of Parole supervises individuals released from the County Jail or State Prison prior to completion of their sentence.

Table 12

HUMAN SERVICE PROGRAMS USED BY CRIMINAL JUSTICE AGENCIES

LAKESIDE COUNTY

<u>Program</u>	<u>Description</u>
Drug and Alcohol Treatment Center	Offers residential treatment for drug and alcohol abusers. Four such centers currently exist.
Alcoholics Anonymous	Offers treatment for alcohol abusers.
Sex Offense Staff	Monitors court status of sex offense cases for the victims and witness(es). Counseling for victims is also supplied.
Victim Witness Program	Monitors court cases to provide status updates to victims and witnesses. Information regarding filing insurance claims, obtaining medical care, and obtaining psychological counseling is provided.
County Hospital (Psychiatric Wing)	Holds criminal justice pretrial referrals.

Table 13

HUMAN SERVICE PROGRAMS NOT USED BY CRIMINAL JUSTICE AGENCIES

LAKESIDE COUNTY

<u>Program</u>	<u>Description</u>
* Adult Education Division, Board of Education	Offers Graduate Equivalency Exam preparatory classes and some education and vocational counseling.
* Agency Breakfast	Sponsored by the Department of Social Services; breakfast presentations are held regarding various human service programs.
* AL-ANON	Provides counseling for the families and persons involved in close relationships with alcoholics.
Prebirth	Provides pregnancy and abortion counseling.
* CANCO (Child Abuse and Neglect Coordinating Organization)	Provides counseling for parents and children involved in abusive domestic situations and provides temporary placement of children out of abusive situations.
CARES (Cooperative Agency Resources for Elderly Services)	Serves as a referral source for housing, medical services, employment, and support groups for the elderly.
* DART (Drug Abuse Rescue Team)	Provides emergency treatment for persons suffering from drug abuse.

* Indicates human service programs currently providing services that appear useful in the delivery of criminal justice services.

Table 13 (Continued)

HUMAN SERVICE PROGRAMS NOT USED BY CRIMINAL JUSTICE AGENCIES

LAKESIDE COUNTY

<u>Program</u>	<u>Description</u>
* Family and Children's Center	Provides domestic violence counseling to families and day care services.
* Neighborhood Service Center	Provides emergency financial aid, food, and employment services.
* HOPE Rescue Mission	Provides emergency employment services, food, and temporary shelter.
* Information and Referral	Supplies information regarding all social services in Lakeside County.
* Career Resource Center	Offers counseling in employment opportunities.
* Lakeside Employment Security Division	Offers counseling and placement in employment opportunities.
* Justice and Peace Center	Provides temporary shelter and counseling regarding employment and housing to indigents and ex-offenders.
Legal Services Program	Provides legal representation to indigents in civil suits.
* Mental Health Center	Offers residential therapy to County residents.
* The Woman's Shelter	Provides shelter for victims of abusive relationships.

Table 13 (Continued)

HUMAN SERVICE PROGRAMS NOT USED BY CRIMINAL JUSTICE AGENCIES

LAKESIDE COUNTY

<u>Program</u>	<u>Description</u>
* Albatross House	Offers residential treatment for drug and alcohol abusers.
Catholic Services	Provides spiritual and domestic counseling, particularly regarding domestic violence.

* Indicates human service programs currently providing services that appear useful in the delivery of criminal justice services.

The working committee as a whole then met to identify all decision points at which someone with the necessary legal authority could:

- order a person's arrest;
- commit a person to jail; and/or
- employ an alternative to incarceration.

As shown in Table 14, the group identified ten major decision points in the processing of an individual through the system.

Table 14

DECISION POINTS, DECISION-MAKERS, AND OPTIONS

LAKESIDE COUNTY

<u>Decision Point</u>	<u>Decision-Maker</u>	<u>Options</u>
1. Initial contact	Police Officer/ Deputy Sheriff	a. Unconditional release b. Refer to Citizen Dispute Program c. Refer to Mental Health Center d. Citation Release e. Detain, bring to station
2. Booking	Police Officer/ Deputy Sheriff	a. Unconditional release b. Refer to Citizen Dispute Program c. Refer to Mental Health Center d. Citation Release e. Detain in jail
3. Initial Appearance	Judge, Pretrial Release Program	a. Release, charges dropped b. Release, ROR (on recognizance) c. Release, Third Party Custody d. Release, Bail e. Detain in jail
4. Information Decision	Prosecutor	a. Drop case, if there is insufficient evidence b. Continue on previous release option c. Detain in jail
5. Arraignment	Judge	a. Release, ROR b. Release, third party custody c. Release, bail d. Detain for trial in jail

Table 14 (Continued)

DECISION POINTS, DECISION-MAKERS, AND OPTIONS

LAKESIDE COUNTY

<u>Decision Point</u>	<u>Decision-Maker</u>	<u>Options</u>
6. Trial	Judge, Jury	<ul style="list-style-type: none"> a. Acquittal b. If found guilty, release on recognizance until sentencing c. If found guilty, release on third party custody until sentencing d. If found guilty, release on bail e. If found guilty, detain for sentencing
7. Sentencing and Placement	Probation, Judge	<ul style="list-style-type: none"> a. Release, fine b. Detain, County Jail c. Detain, State Prison d. Released in custody of the Drug and Alcohol Treatment Center e. Release, probation f. Release, suspended sentence
8. Community Corrections Revocation Hearing. If rules are broken while on these options, a revocation hearing is held.	Judge	<ul style="list-style-type: none"> a. Continue in community corrections program b. Sent to County Jail or State Prison

Table 14 (Continued)

DECISION POINTS, DECISION-MAKERS, AND OPTIONS

LAKESIDE COUNTY

<u>Decision Point</u>	<u>Decision-Maker</u>	<u>Options</u>
9. Parole decision (Initial review held after one third of sentence has been served)	Parole Board	<ul style="list-style-type: none"> a. Parole granted, released under supervision of the Department of Parole to the community b. Parole denied (If parole is denied, the individual is entitled to a semiannual parole hearing from that point to the end of his or her sentence, unless a special hearing is recommended by the individual's caseworker)
10. Success Determination Hearing (Six months after release on parole, the parolee is required to attend a hearing to determine whether or not his or her parole performance has been acceptable.)	Parole Board	<ul style="list-style-type: none"> a. Continue on parole b. Parole revoked, relocated in County Jail or State Prison

The working committee outlined the policies that governed use of some of the options they had identified. The Restitution Program, for example, only accepted misdemeanants, while the County Hospital Psychiatric Wing required that long term care be necessary before accepting a post-trial referral. Citation release can be used by police officers/deputies in the field or at the station for persons found to have no prior record and who are involved in traffic violations. Suspended sentences were used primarily for persons convicted of drunken driving, as persons convicted of this offense are mandated to serve two days in jail.

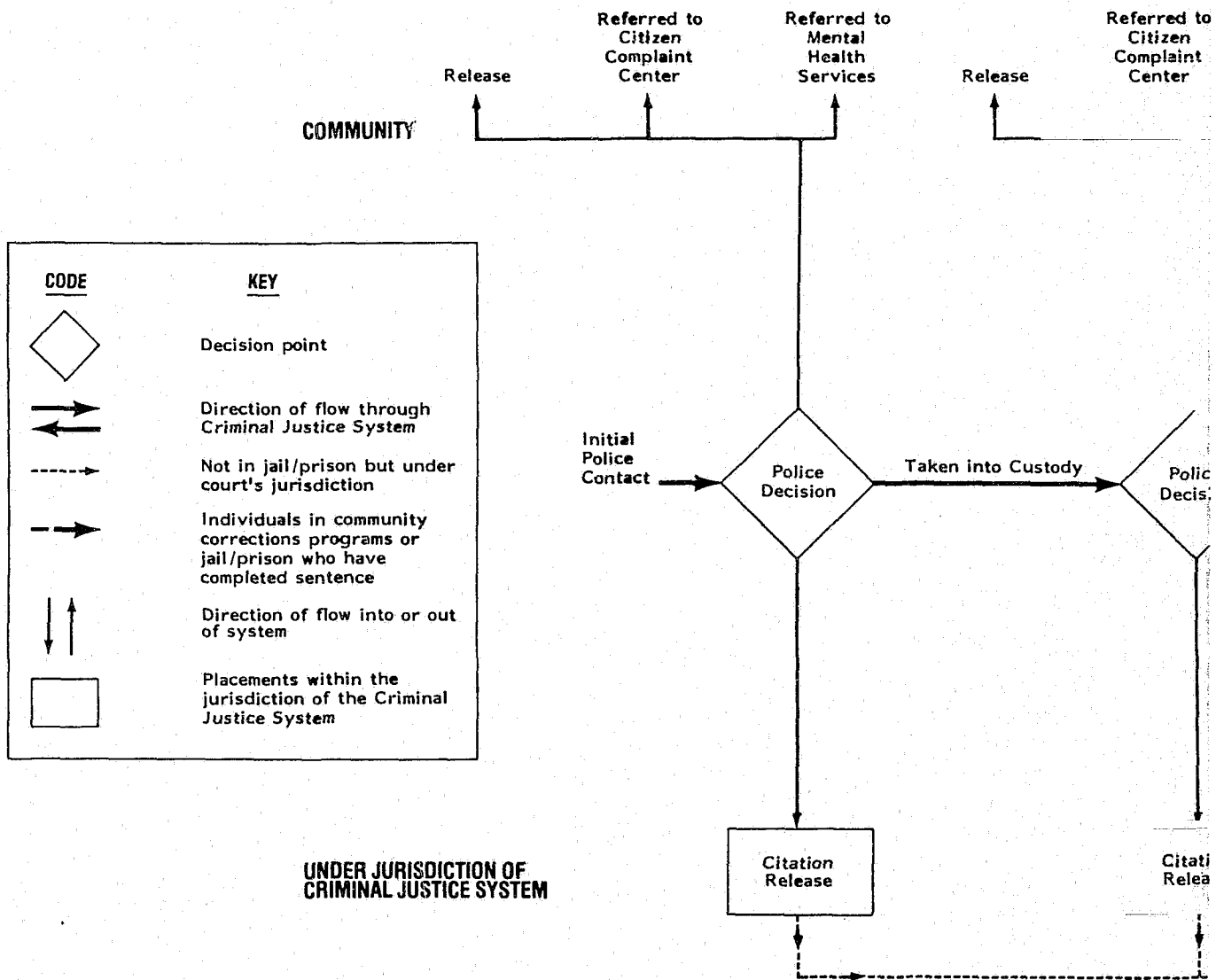
The planning coordinator also asked the committee to identify decision points at which individuals other than the decision-maker help make the decision. The Pretrial Release Program was cited as conducting screenings for possible release on ROR or Third Party Custody and providing recommendations to the Judge at Initial Appearance regarding the appropriateness and type of release. The Probation Department was responsible for writing presentence reports containing information about individuals eligible for probation. The Judge receives these reports before setting sentences.

In yet another meeting, the planning coordinator briefly recapped the information they had compiled before launching into the actual flowchart. She reiterated that

the flowchart should depict the processing of an individual through Lakeside County's current criminal justice system.

The decision points previously identified were used as the basis for the flowchart, which the working committee agreed was a valuable method for identifying points at which other service options, besides those currently used, could be incorporated to help alleviate the burden on overutilized programs.

The flowchart began with police contact with a citizen to investigate a report or an incident observed by the officer, and ended with the completion of an individual's sentence, whether through parole, probation, the Drug and Alcohol Treatment Centers, or the completion of a sentence in State Prison or the County Jail. The working committee put together a rough draft on newsprint and had a graphic artist in the Department of Planning draw the flowchart which appears on the following pages.



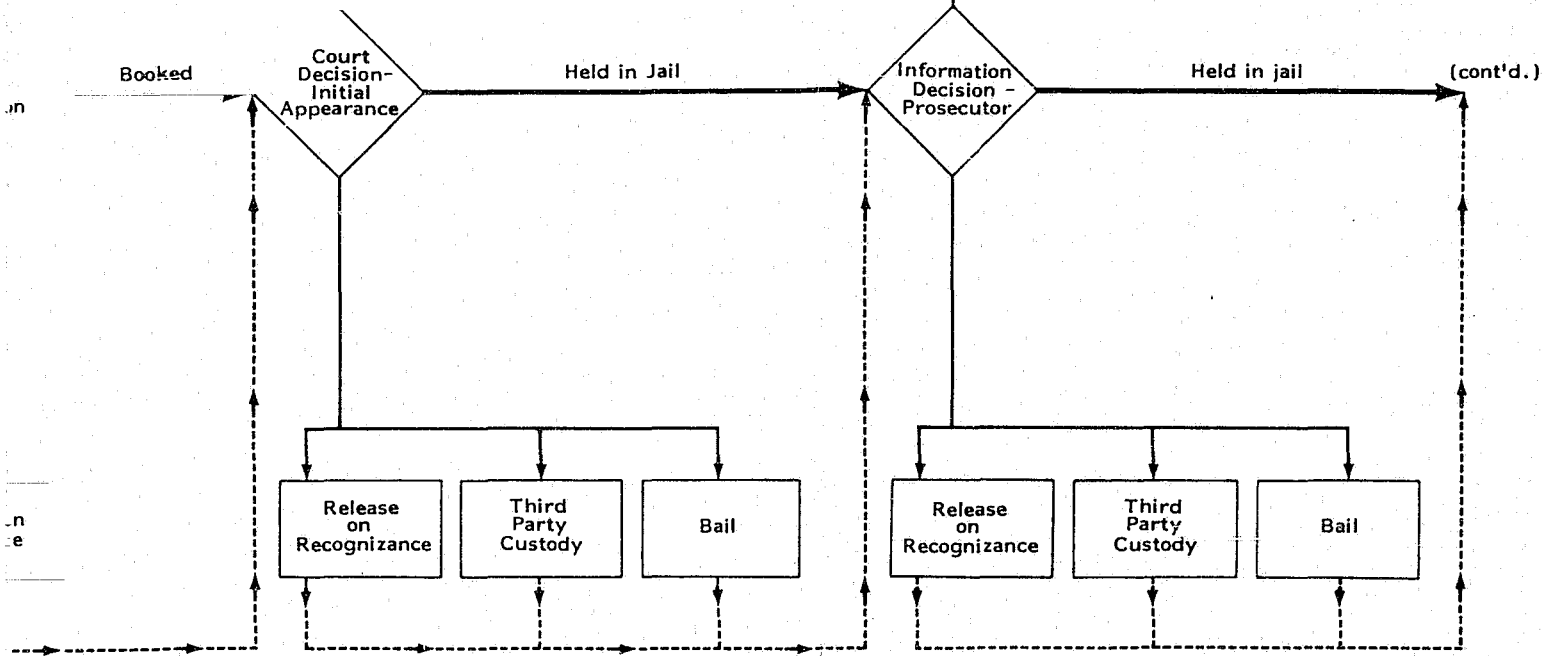
CRIMINAL JUSTICE SYSTEM

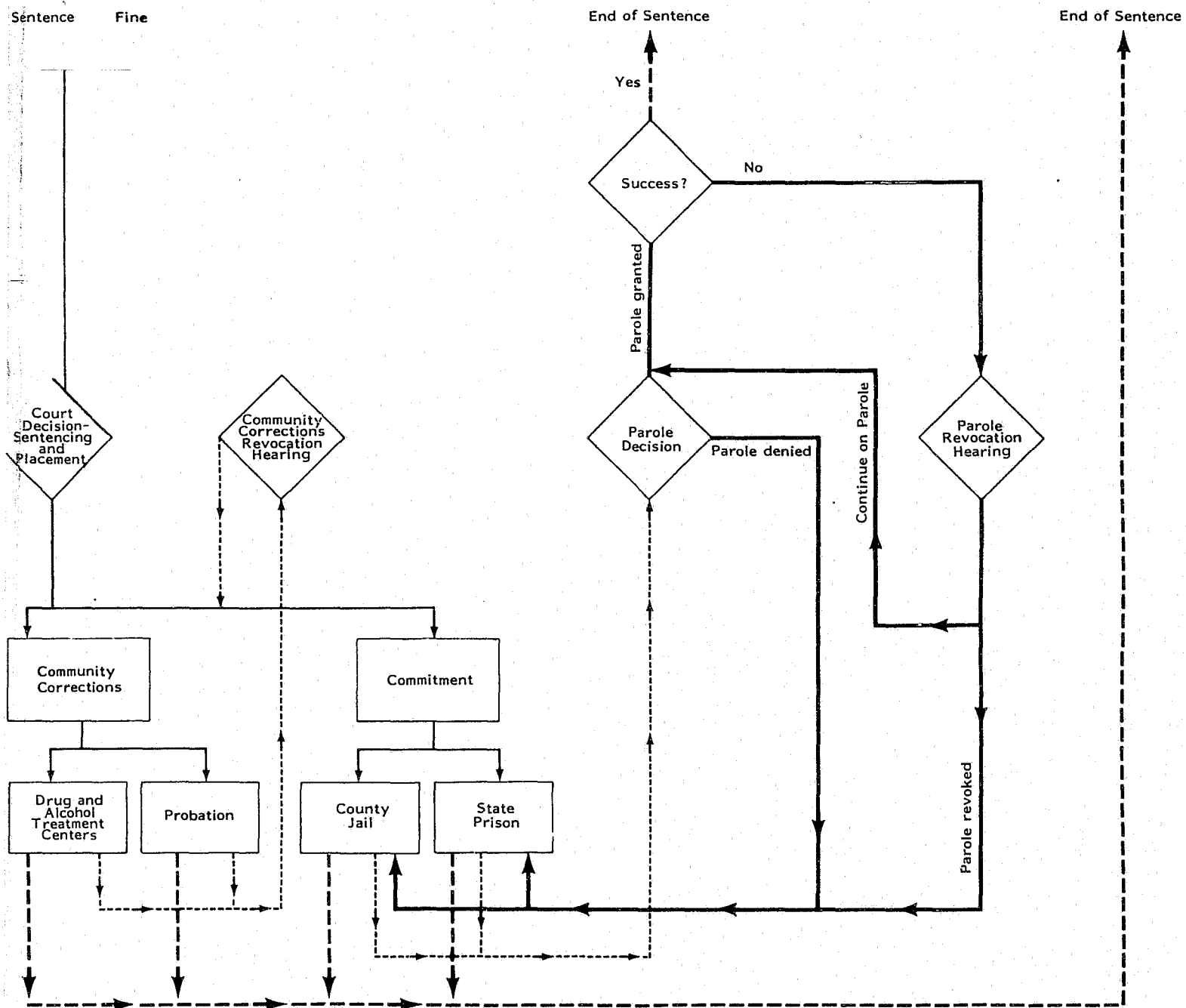
Lakeside County, 1981

Referred to
Mental
Health
Services

Case
Dismissed

Release

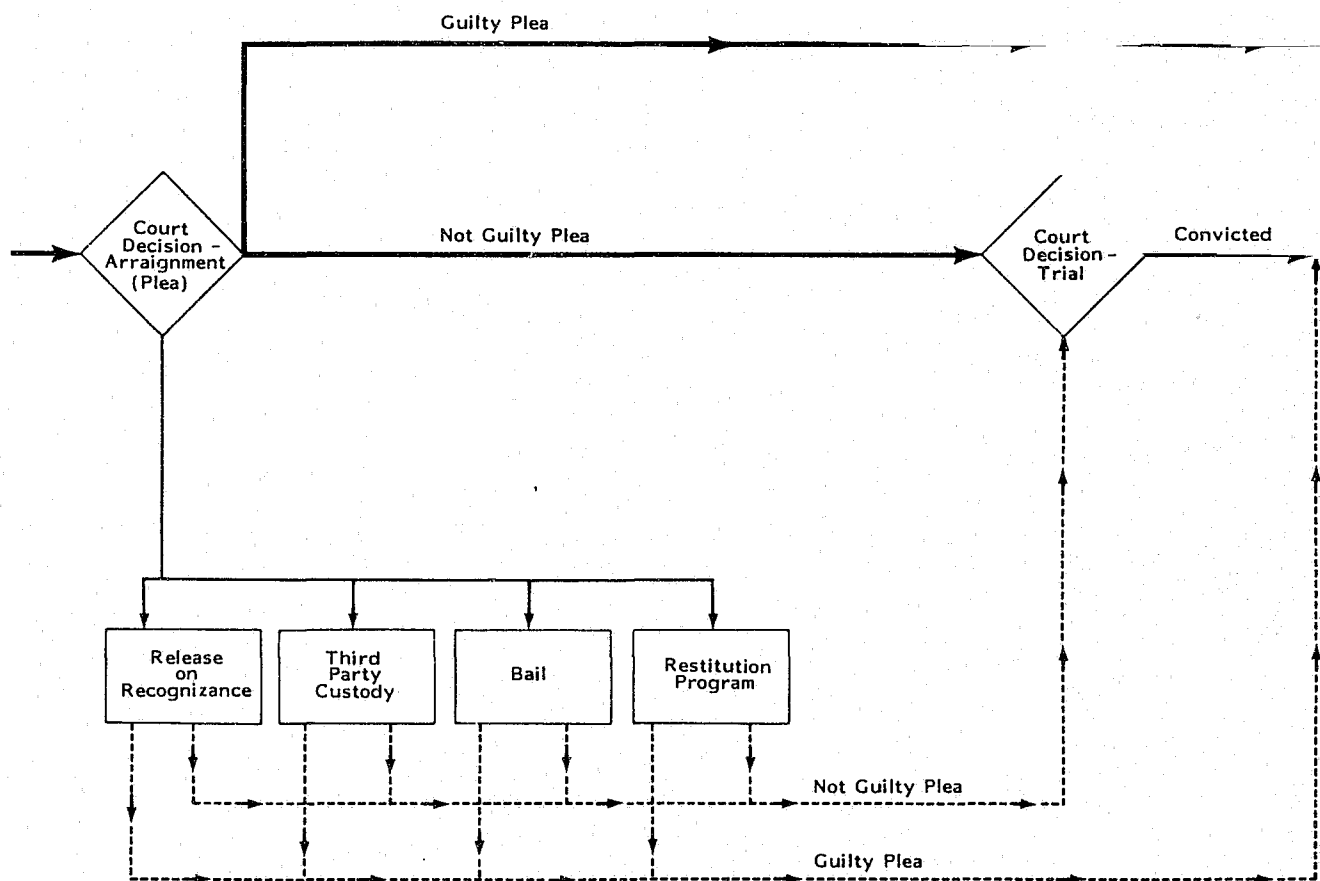




MINAL JUSTICE SYSTEM
ide County, 1981

Acquittal

Suspende



ADULT CRI
Lake

After the flowchart had been developed, the planning coordinator posed the question of why some human service programs were not used by criminal justice agencies. The lists of human service programs previously generated (Tables 12 and 13) by the County Government and Human Service subcommittees were presented to the working committee for discussion. Some of the programs included in the list of programs not used by the criminal justice system, such as CARES (Cooperative Agency Resources for Elderly Services), Prebirth (pregnancy and abortion counseling services), Catholic Social Services (pastoral counseling, particularly regarding domestic problems), and Legal Services Center (representation in civil suits), were thought to be irrelevant to criminal justice agencies, although it became apparent that they might serve as referral sources for the Citizen Dispute Program. The Citizen Dispute Program, a program designed to reduce court caseloads by informally mediating cases as an alternative to formal legal proceedings, sees a wide variety of complaints and requires a good knowledge of all services available in the community to be effective. Many of the other human service programs also could serve as places for referral, such as AL-ANON, CANCO, DART, the Family and Children's Center, the Neighborhood Service Center, HOPE Rescue Mission, The Woman's Shelter, and Albatross House.

One of the problems that became apparent in identifying programs in the County was that of the "catch-all"

nature of the criminal justice system. Very often persons were taken into the system who really belonged in mental health or drug or alcohol treatment programs, rather than in the criminal justice system. Such inappropriate referrals occurred primarily because of limited space in such programs, and insufficient knowledge by the person(s) contacting the police or by the police officer of other options.

Residential programs, such as the Justice and Peace Center, a program designed to help ex-offenders and indigents establish themselves by providing a temporary shelter until employment and housing are found, and the HOPE Rescue Mission, designed to aid transients to become established in Lakeside County, could serve as useful post confinement sources of assistance. The Adult Education Division, which sponsors GED classes; the Family and Children's Center, designed to help families deal with domestic violence and to offer day care services; and the Neighborhood Service Center, which provides emergency financial aid, food, and employment, could also help ex-offenders become reintegrated into society. In addition to these services, the Career Resource Center and the Lakeside Employment Security Division offer counseling in employment opportunities.

The Department of Social Services sponsors a program called Agency Breakfast through which breakfast presentations regarding various human service programs are made. It was suggested that that program could be broadened to include representatives of criminal justice agencies.

One of the primary reasons given for having excluded these programs from the network of programs used by the criminal justice system was that criminal justice staff are unaware of their existence. In some cases, such as the Mental Health Center, a residential treatment facility, the Lakeside Employment Security Division, and Albatross House programs had policies which excluded the acceptance of criminal justice referrals.

When the working committee had completed their discussion of how human services could be better integrated with the criminal justice system, the staff assistant helped the subcommittees to compile a report containing their data collection plans, the flowchart, and their findings regarding human service programs currently not utilized by the criminal justice system.

A joint meeting was then held with the advisory and working committees, to which the public was also invited. The planning coordinator and staff assistant presented the working committee's findings to the advisory group and public before finalizing the report and submitting it to the County Council.

Following the presentation of the report, the subcommittees collected the data indicated in their data collection plans. This required a great deal of patience and some help from persons familiar with how various agencies' records are kept. During this period the subcommittees met individually, with the staff assistant providing guidance

whenever necessary. The staff assistant also arranged to have student interns help collect data when the task was too demanding to handle within the subcommittees' resources. Finally, the desired data were gathered and the working committee was ready to proceed.

Analyze Information

The working committee was now able to begin the analysis step of the planning process. The staff assistant explained that the purpose of data analysis is to describe the information previously gathered and draw some inferences from it. By the end of this step, the committee should be able to describe and draw conclusions about such issues as how Lakeside County's criminal justice system operates, how resources are allocated, where gaps or duplication exist in the delivery of services, and where inappropriate placements occur most frequently.

To facilitate the data analysis process, the staff assistant instructed each subcommittee to develop a data analysis plan, using the research questions it developed for the data collection plan. The analysis plan should include the data elements which have been collected, the relationships the committee wished to examine, and the analytical techniques to be used for each research question previously developed.

The staff assssistant also reported that a statistical package was available on the County's Department of Planning

computer which would serve the planning process' analysis needs. County demographic and budget data were also accessible on that system. The staff assistant and planning coordinator would oversee the analysis effort. After the staff assistant explained how the mechanics of the analysis would operate, the subcommittees convened and began to develop their analysis plans.

After numerous subcommittee meetings and conferences with the staff assistant, the subcommittees submitted their analysis plans to the planning coordinator, who reviewed and integrated them into one comprehensive data analysis plan. Table 15 presents part of the data analysis plan submitted by the Corrections/Law Enforcement subcommittee.

Table 15

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S DATA ANALYSIS PLAN

LAKESIDE COUNTY

ISSUE: IS JAIL OVERCROWDING A PROBLEM IN LAKESIDE COUNTY?

Research Question	Data Elements	Relationships to be Examined	Analytical Techniques
Who is in the Lakeside County jail?	Legal status Most recent charge Gender Age Ethnicity Education Residence Employment at time of arrest Marital status Emotional/mental health	The relationship between: <ul style="list-style-type: none"> Legal status and most recent charge (e.g., how many pretrial detainees are charged with a misdemeanor?) Legal status and employment (e.g., how many inmates held pretrial were employed at the time they were arrested?) Gender and most recent charge (e.g., what percentage of males were charged with committing a felony?) 	Frequency distributions will be generated for each data element to provide a profile of who is in the Lakeside County jail Crosstabulation analysis will be used to examine the relationships between certain data elements

Table 15 (continued)

Research Question	Data Elements	Relationships to be Examined	Analytical Techniques
What is the capacity of our jail?	<p>Total capacity</p> <p>Total bookings</p> <p>Net bookings</p> <p>Average daily population</p> <p>Average detention time</p> <p>Number of felony and misdemeanor inmates</p> <p>Number of pretrial and sentenced inmates</p>	<p>The relationships between:</p> <ul style="list-style-type: none"> • number of pretrial detainees and average detention time (e.g., how long is a pre-trial detainee held in jail?) • Average detention time and number of misdemeanor inmates (e.g., what is the average length of time a misdemeanant spends in jail?) <p>Total number of bookings minus net bookings will provide information on the number of persons processed through the jail but not held</p>	<p>Frequency distributions will be generated for each data element to provide a profile of what the jail's capacity is</p> <p>Crosstabulation analysis will be used to examine the relationship between certain data elements</p>

The working committee's data analysis plan was presented in an open meeting to the advisory committee and, upon their approval, was submitted to the County Council along with a progress report. The staff assistant then began conducting the analysis, focusing on univariate and bivariate analysis since those types of analyses would provide the basic information the planning group would need and would be easy to present to the advisory committee and County Council. As each major portion of the analysis was conducted, the findings were given to the subcommittee responsible for gathering the data to interpret.

The analysis process was long and sometime tedious, but the subcommittees were able to arrive at a point at which they felt they had drawn all of the pertinent interpretations from the data. Table 16 presents a portion of the findings, again from the Corrections/Law Enforcement subcommittee. The interpretations included the proposal that more County residents employed at the time of arrest and charged with minor offenses might be eligible for pretrial release than are currently being released. Also, jail overcrowding appeared to be an impending problem because of legislation recently passed which would require special classification of inmates with psychological or emotional problems.

Table 16

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S DATA ANALYSIS
FINDINGS AND INTERPRETATIONS

LAKESIDE COUNTY

ISSUE: IS JAIL OVERCROWDING A PROBLEM IN YOUR COMMUNITY?

Research Question	Findings	Interpretations
Who is in the Lakeside County Jail?	<p>Ninety-five percent of the individuals held in jail were male and between, the ages of 18 and 25 years old (58%). The majority of the inmates were non-white (70%) and had, at most, a 10th grade education (58%). Only 25 percent of the individuals had a high school diploma or GED. Seventy-five percent of the inmates resided in Lakeside County and 55 percent held a job (either full or part time) when they were arrested.</p> <p>Pretrial detainees comprised 95 percent of the jail's population, the remaining 5 percent were sentenced offenders convicted of committing a misdemeanor offense. Eighty percent of the pretrial detainees were charged with committing a felony (50% were property crimes; 30% were crimes against persons). The remaining 20 percent of the pretrial detainees were charged with a misdemeanor. Of those charged</p>	<p>Based on the findings about the Lakeside County jail's population, education should be a priority in jail programming decisions. Also, more residents of the county who were employed at the time of arrest and were charged with a minor offense appear to be eligible for pretrial release than are currently released.</p>

Table 16 (continued)

Research Question	Findings	Interpretations
	<p>with a misdemeanor, the majority were charged with disorderly conduct, drunken driving, and petty larceny. Of the total jail population, on the average, 50 percent had a history of emotional or psychological problems.</p>	
<p>What is the capacity of our jail?</p>	<p>The jail is designed to hold 100 individuals; 90 males and 10 females. During 1981, the average daily population was 95, a 17 percent increase since 1977. One thousand three hundred sixty-four individuals were booked into the Lakeside County jail and 764 inmates were actually held during 1981. Inmates were detailed in jail for an average of 40 days. Despite local classification standards for the jail, the facility has not provided separate living quarters for inmates displaying psychological or emotional problems. The court recently ruled that within one year jails in the state must provide separate living facilities for inmates displaying psychological or emotional problems.</p>	<p>Although the jail currently has a 5 percent vacancy rate, it faces an overcrowding situation because of the recent court ruling regarding placement of inmates with psychological problems. Alternative placements should be considered for those inmates who were charged with or convicted of lesser offenses.</p>

Another open meeting was held with the advisory committee to discuss the findings and interpretations of the data. After several recommended changes were made, a summary report was submitted to the County Council for its review.

Formulate Policy

The planning coordinator convened a meeting of the entire working committee to discuss the next step in the planning process, formulating policy based on the committee's interpretation of the data analysis. Policy statements, she explained, are the framework for decisions regarding specific procedures to be undertaken to achieve the plan's goals. Final policy statement recommendations should be made only after careful consideration of alternative approaches. For the purposes of this planning process, the policy statements the subcommittees devised should govern how the components of Lakeside County's criminal justice system and related human services will be coordinated and how alternatives to incarceration will be used in the County.

The planning coordinator presented the following seven steps for the subcommittees to follow in arriving at their policy recommendations.

1. List alternative policies based on the data interpretations.
2. Determine criteria for choosing between alternatives.

3. Gather data about the options.
4. Compare the options.
5. Consider deficiencies in the analysis.
6. Make recommendations.
7. Prepare a recommendations report.

The subcommittees then convened individually for several weeks to develop their policy statements. Each subcommittee worked with the interpretations it had made in the previous planning step. Policy development was a difficult task and all of the subcommittees breathed a sigh of relief at the completion of their recommendations reports. The working committee was a thorough critic, however, and following each subcommittees' presentation to the other working committee members, revisions were necessary. Finally, the working committee, planning coordinator, and staff assistant were satisfied with the policy recommendations made and were ready to schedule a joint meeting with the advisory committee and the public. Several policy statements developed by the working committee to address the issue of jail overcrowding appear in Table 17.

On the whole, the policy recommendations were well received by the advisory committee, with a few requested changes, mostly dealing with language. Once these suggestions were incorporated, the working committee submitted their policy recommendations to the County Council.

Table 17

POLICY STATEMENTS DEVELOPED TO ADDRESS THE ISSUE
OF JAIL OVERCROWDING IN LAKESIDE COUNTY

Interpretation of Data

Based on the findings about the Lakeside County jail's population, education should be a priority in jail programming decisions. Also, more residents of the County who were employed at the time of arrest and were charged with a minor offense appear to be eligible for pretrial release than are currently released.

Although the jail currently has a 5 percent vacancy rate, it faces an overcrowding situation because of the recent court ruling regarding placement of inmates with psychological problems. Alternative placements should be considered for those inmates who were charged with or convicted of lesser offenses.

Policy Statements

Emphasis should be placed on education in jail programming.

The use of pretrial release will be encouraged for County residents employed at the time of arrest and charged with a minor offense.

Every effort will be made to maintain the jail's population within the designed capacity; construction of additional incarceration space will be a last resort.

Develop an Action Plan

The working committee was now ready to develop procedures, or specific steps to be taken to implement the committee's new policies. Each subcommittee was to write procedures for the policies it had developed in the previous planning step. An action plan, explained the planning coordinator, consists of a series of specific procedures designed to implement your policy statements. After each subcommittee had produced procedures for their policies, the procedures would be integrated into an action plan to be followed during implementation.

Each subcommittee was instructed to list potential procedures for its policy statements, including possible resources for implementation, barriers to adoption of those procedures, and strategies to overcome those barriers. Finally, each subcommittee should list the procedures it recommended and the envisioned time frame for their implementation. In making decisions, the planning coordinator pointed out, the following should be considered:

- degree to which procedures help implement the policy statement;
- extent to which procedures are philosophically compatible with the goals;
- costs associated with implementation of the procedures;
- amount of time required to implement the procedures; and
- feasibility of implementing the procedures given potential resistance.

After discussing these points, the working committee divided into subcommittees to begin the task of procedure development. As with policy development, it took some time before the subcommittees were able to arrive at procedures they felt were reasonable and that reflected the goals of their planning process. Table 18 presents several procedures considered by the Corrections/Law Enforcement subcommittee and its final recommendations. The planning coordinator and staff assistant then integrated the recommendations into one action plan.

Table 18

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S
PROCEDURE DEVELOPMENT PROCESS

LAKESIDE COUNTY

POLICY STATEMENT	PROPOSED PROCEDURES	RESOURCES AVAILABLE	BARRIERS	STRATEGIES TO OVERCOME BARRIERS	RECOMMENDATION	TIME FRAME
Every effort will be made to maintain the jail's population within the designed capacity; construction of additional incarceration space will be a last resort.	The Lakeside County Sheriff's Department will use citation release for cases involving traffic violations, petty larceny, shoplifting, and disorderly conduct. Exceptions to citation release are hit and run, manslaughter, and drunken driving violations.	Sheriff Chief and Patrol Division Lieutenant State and federal crime information records	Patrol officers Community Two County Council members	Disseminate information about potential legal and social ramifications of jail overcrowding Form a network of advocates to help disseminate the information and build support If relatively small changes in the procedure will insure greater support, the group should consider compromise.	The procedure was recommended for adoption. The Lakeside County Sheriff's Department will use citation release for cases involving traffic violations, petty larceny, shoplifting, and disorderly conduct. Exceptions to citation release are hit and run, manslaughter, and drunken driving violations.	Implemented within 6 months. The procedure will be monitored and changes made as necessary.

Table 18 (Continued)

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S
PROCEDURE DEVELOPMENT PROCESS

LAKESIDE COUNTY

POLICY STATEMENT	PROPOSED PROCEDURES	RESOURCES AVAILABLE	BARRIERS	STRATEGIES TO OVERCOME BARRIERS	RECOMMEN- DATION	TIME FRAME
	Upon reaching 95 percent of the jail's capacity, the jail administrator should notify the court, law enforcement, and county council. If within 15 days the population has not declined, the records of sentenced persons will be reviewed. Those persons who are first or second offenders convicted of a misdemeanor and who are within 30 days of completion of their sentence, will be released.	Jail staff to review records and process inmates leaving the system.	Lack of post-confinement alternatives Judiciary Community	Disseminate information about potential legal and social ramifications of jail overcrowding Form a network of advocates to help disseminate the information and build support If relatively small changes in the procedure will insure greater support, the group should consider compromise. Locate funding for post confinement alternatives	Given the amount of probable opposition to a reduction in sentence and the small degree to which such a procedure would affect the overall jail population, this procedure was not recommended for adoption.	

Table 18 (Continued)

CORRECTIONS/LAW ENFORCEMENT SUBCOMMITTEE'S
PROCEDURE DEVELOPMENT PROCESS

LAKESIDE COUNTY

POLICY STATEMENT	PROPOSED PROCEDURES	RESOURCES AVAILABLE	BARRIERS	STRATEGIES TO OVERCOME BARRIERS	RECOMMENDATION	TIME FRAME
	Persons charged with offenses requiring bail under \$1,000 will be required to post a 10 percent cash deposit.	Court clerks	Judiciary Prosecutors Community	Disseminate information about potential legal and social ramifications of jail overcrowding and failure to appear rates Form a network of advocates to help disseminate the information and build support If changes in the eligibility requirements will insure greater support, the group should consider compromise.	This procedure was recommended for adoption. Persons charged with offenses requiring bail under \$1,000 will be required to post a 10 percent cash deposit.	Implemented within 3 months. The procedure will be monitored and changes made as necessary.

Once again a joint meeting was held with the advisory committee and the public to present the recommendations of the subcommittees. A number of revisions were required and several more joint meetings were held before the final recommendations were ready to be incorporated into a report to the County Council. At last the report was submitted. Several weeks went by before approval was received from the County Council to continue the with implementation of the action plan.

Monitor and Evaluate

When approval was received, the planning coordinator convened the working committee to discuss monitoring and evaluation before launching into implementation. Implementation must be carefully monitored, she explained, to ensure that the plan is followed and that, when necessary, the plan can be modified. The working committee, she pointed out, had tailored its data collection and analysis plans to the eventuality of evaluation, and it was essential that any data collected during implementation be collected in the proper form to be useful in evaluation. Therefore, it was important that monitoring and evaluation be discussed prior to implementation.

An individual from each subcommittee was assigned the responsibility of monitoring the implementation of the procedures its group had developed. The planning coordinator stressed the importance of monitoring to provide feedback

regarding the progress of the implementation phase. The persons responsible for monitoring were given the following questions to answer monthly:

1. What activities were scheduled to occur during this period? What activities actually occurred?
2. What did the activities that were performed accomplish toward achieving the goals set for the plan? How can their accomplishment be measures?
3. For those activities that were not performed, what prevented them from occurring? What is being done to resolve the problem(s)?
4. Are the resources allocated for implementation adequate up to this point? If so, can they be reallocated to be used more effectively?
5. Are there any modifications to the plan that seem necessary in light of the answers to the above questions?

By answering these questions, modifications can be made during implementation to improve the plan's effectiveness.

In addition to planning for the monitoring of implementation, the planning coordinator explained, the working committee must, at this point, begin to address the evaluation which would be conducted in approximately two years. This evaluation will provide feedback that can be translated into recommendations for improving the action plan. Although the evaluation would not occur for some time, the planning coordinator emphasized the need to design an evaluation framework to ensure collection of the proper data during the implementation phase.

The planning coordinator suggested that an additional subcommittee be formed to begin designing the evaluation. The committee agreed and representatives of the Jail Administrator and Director of Social Services offices, along with a representative from the Jail Moratorium Committee volunteered to serve on the subcommittee, which would be aided by the staff assistant. The planning coordinator presented them with an evaluation framework to use as a guide in the design process. In addition to the subcommittee's work, the entire working committee would continue to meet periodically during the implementation and evaluation of the action plan. The subcommittee responsible for designing the evaluation completed the evaluation framework, part of which appears on the following page.

Table 19
Lakeside Criminal Justice
Planning Group
Evaluation Framework^{a/}

Goal	Anticipated Result	How will this Result be Measured?	Data Needed to Document the Change
To maximize coordination and cooperation among criminal justice and human service agencies	Increased appropriateness of referrals from criminal justice agencies to human service agencies	Number of referrals deemed appropriate by agency personnel Number of referrals then referred elsewhere	Survey of agency personnel Intake records
	Increased information sharing between agencies	Interagency meetings - frequency - attendance	Survey of agency personnel Minutes from meetings
		Telephone contact - frequency	Telephone logs
		Written communication - frequency	Correspondence files
	Increased knowledge by criminal justice and human service personnel of services offered in their community	Number of training sessions dealing with community services Number of times a representative from one agency makes a presentation to another agency	Survey of agency personnel Training manuals

^{a/} The Lakeside Criminal Justice Planning Group's working committee completed this chart for all of its goals.

The Lakeside County Criminal Justice Planning Group was now ready to begin implementation of its plan. Nine months had passed since the planning effort began. It would be some time before the members would know the effectiveness of their plan, but they felt satisfied with their efforts. All of the group's members agreed that they had learned a great deal about their County.

GLOSSARY

The definitions of key words and concepts used in the workbook follows.

Action plan	a series of procedures that are organized in a plan designed to implement policy.
Alternatives to incarceration	means of criminal justice supervision of individuals other than those involving confinement.
Arraignment	the appearance of the defendant before a judicial officer. The defendant enters a plea and counsel is appointed for the indigent.
Bail	a monetary bond set by a judicial officer or prescribed by a bail schedule corresponding to the type of offense(s) allegedly committed. Bail is designed to insure that the defendant will appear in court.
Citation release	a summons to appear in court given by a police officer to a citizen alleged to have committed a crime. Use of citation release varies among jurisdictions.
Community	a group of people living in the same locality and sharing the same government.

Community corrections	any program or activity in the community which directly addresses the offender with the aim of helping that person reintegrate into the community and become a law abiding citizen.
Corrections standards	policy and procedure governing the operation of correctional facilities. There are many standards including the Commission on Accreditation, American Bar Association, American Medical Association, National Sheriff's Association, and Department of Justice.
Criminal justice system	a series of agencies that have been given formal responsibility to control crime. These agencies include police and sheriff's departments, judges, state's attorney's offices, and probation and parole departments.
Crosstabulation	the joint frequency distribution of two or more variables.
Data	information about past and current events or activities which can be gathered, analyzed, and used to make decisions.
Evaluation	the collection, analysis, and interpretation of data in order to assess the impact of the implementation of a plan. This information will be used in future planning and decision making.
Failure to appear	the number of times an individual fails to appear in court on a scheduled date. Definitions of failure to appear varies among jurisdictions.
Flowchart (Criminal justice)	a visual representation of a community's criminal justice system. It reflects the step by step progression that a person takes through the system and each of the decision points along the way.

Frequency distribution	the raw number and percentage in each category of a variable.
Goal	a broad statement which is related to the mission statement and indicates what you intend to do and why you intend to do it.
Initial appearance	the appearance of the defendant before a judicial officer. The defendant is formally notified of the charges, advised of his or her rights, and if appropriate, bail is set.
Issue	a matter of public concern.
Mean	the sum of the individual values for each case divided by the number of cases.
Mission statement	a description of the reason or purpose for the existence of a project or an organization.
Monitoring	a means for comparing the planned status of activities with the actual status at a given point in time.
Outcome	the identified end result of the planning effort.
Planning	a systematic approach to reaching a goal. The steps in the planning process include identifying goals and issues, gathering information, analyzing the information, formulating policy, developing an action plan, and monitoring and evaluating the action plan.
Policy	the framework for making decisions regarding the specific activities to be undertaken to achieve the goals of your plan.
Post confinement alternatives	programs that serve as conditions of release from confinement including parole, halfway houses, pre-release centers, and so forth. These programs may be residential or nonresidential.

Pre-release center	a residential facility whose focus is to help offenders make the transition from incarceration to living in the community. Counseling and job employment services are provided.
Primary data collection	data collected from the original source such as community residents, offenders, and agency personnel.
Procedures	the steps to be taken to implement policy statements.
Process	a series of steps that brings about a result.
Secondary data collection	data collected from existing records such as jail intake records, police incident reports, and presentence investigation reports.
Sentence	the penalty imposed by the court on a defendant convicted of committing a crime. The defendant may be given a suspended sentence, fined, sentenced to jail or prison, placed on probation, or placed in a community service program such as a halfway house.
System cost analysis	a method for estimating the funding necessary to meet program demand in future years.
System load analysis	a method to determine the number of persons processed through the various corrections related services in a community.
Third part custody	the release of an individual in the custody of another person rather than holding the individual in jail. This is a preconfinement alternative.
Variable	a set of mutually exclusive characteristics such as age, sex, or number of prior offenses.
Widening the net	the inclusion in programs of persons who would not have entered the criminal justice system, had no program been available.

NOTES

¹Tropman, John E. Effective Meetings -- Improving Group Decision-Making. Sage Human Services Guides, Volume 17. (Beverly Hills: Sage Publications, Inc., 1980).

²Adapted from G. Warheit; R. Bell; and J. Schwab. Planning for Change: Needs Assessment Approaches, pp. 17-18.

³Each community must define for itself what alternatives it considers appropriate. This will largely depend on the norms and values of your community and always with regard to public safety.

⁴Elias, Gail. Criminal Justice System Data Elements and Their Applications, Voorhis Associates, Inc., 1982.

⁵Adapted from Guide to Data Collection and Analysis: Jail Overcrowding/Pretrial Detainee Program by Jerome R. Bush (American Justice Institute, 1980).

⁶A variable is a set of mutually exclusive characteristics such as age, sex, or number of prior offenses.

⁷For further information see Chapter 16 - Contingency Tables and Related Measures of Association: Subprogram Crosstabs, in N. Nie, C. Hull, J. Jenkins, K. Steinbrenner, and D. Brent. Statistical Package for the Social Sciences (2nd ed.) (New York: McGraw Hill, 1975).

⁸R. Laurence Coates and Bonnie Wood. Program Planning Workbook, (Washington, DC: Center for Community Change, 1981), pp. 41-43.

⁹Ibid, p. 41.

¹⁰Carol Weiss. Evaluation Research, (Englewood Cliffs: Prentice Hall, Inc., 1972), p. 4.

¹¹Reliability indicates the probability of obtaining the same results upon repeated application given constant conditions. Validity refers to the degree to which any measure succeeds in doing what it is supposed to do (Suchman, 1967: 116-120).

Appendix A

SYSTEM LOAD ANALYSIS

Scott Brown, Ph.D.

SYSTEM LOAD ANALYSIS

Overview

Purpose. This appendix describes a method for measuring the present and near-term load on social and corrections related services. By "load" we mean the number of persons handled by a particular service relative to the ideal level given limitations in staff, facilities, and other resources. By comparing the relative load and expected increases in load for related services, it is possible to develop recommendations regarding the shifting of placements from one program to another. This analysis also can point to the need for new programs. The results of this analysis can be used to reduce overloaded conditions, better utilize existing resources and, ultimately, improve the quality of social and corrections related services.

Determining the number of persons processed through the various corrections services in a community is fairly

straightforward. However, identifying the most appropriate number of persons to be receiving specific correctional services in terms of underlying community "needs" is a much more problematic issue. The method presented here takes the number of persons entering the criminal justice and social service system as a "given" and then attempts to place them in appropriate services in such a way as to minimize over loading of particular services.

An important assumption of this method is that the level of funding and other resources for corrections related services will remain fixed. Funding increases from year to year will be sufficient only to offset inflation and maintain existing levels of program capacity. It is necessary to hold program resource levels constant in order to assess the baseline (ideal) load-carrying capacity of each program and to project load several years into the future.

Organization. This appendix is divided into five parts, the first part presents the procedures for measuring the current load on existing corrections related programs. The second part describes how program load can be projected several years into the future. The third section sets the stage for the development of policy recommendations by identifying the steps necessary to compare the relative load on different programs. In the fourth part of the appendix, techniques for translating the analysis into conclusions and

recommendations are discussed. A sample of exercises related to the four major steps in the system load analysis process are included at the end of the appendix.

Task 1: Current Load Analysis

The current load analysis involves a substantial amount of data gathering. Because all subsequent components of the system load analysis depend on this information, it is important that sufficient time and staff be allocated to complete this task thoroughly.

Step 1: Service Level Measurement. For each corrections related program identified in the flowcharting process described in Chapter 3, it is necessary to measure the quantity of service being provided. Because programs vary widely, it is not practical to expect that the measures of service quantity will be the same for each program. For the purpose of this step, it is necessary only that the most appropriate measure for each individual program be selected. Examples of measures of service quantity for different types of corrections related programs include:

- number of enrollees per year (e.g., training programs);
- number of cases closed per year (e.g., dispute settlement or resolution programs), and
- number of person days per year (e.g., residential programs, detention facilities).

Important concerns in selecting measures of service quantity include:

- data should be readily accessible from program records;
- data for several prior years should be available; and
- the data should be available in annual (fiscal year) form or should be readily transformed into annual form.

A measure which is not appropriate in this analysis is the number of dollars spent in a given fiscal year. The goal of this step is to measure what each program accomplished, not what it cost.

In order to chart activity level projections, it is very important that several prior fiscal years of program activity data be gathered. The quality and quantity of prior activity level data largely determine the accuracy of projections. Four years of prior activity data is ideal, two is a minimum. In the case of new programs, of course, no prior data can be obtained. Techniques for handling new programs are described in Task 2.

Step 2: Service Capacity Measurement. This step in the task involves determining the appropriate (baseline) level of annual activity for each program given its current staff, facilities, and other resources. There are a number of ways to approach this task and the techniques will vary from program to program. Residential or detention program

service capacity is fairly easy to measure. The number of beds minus an appropriate vacancy factor will yield the number of person days of service that, under normal conditions, can be expected of that facility. An even better measure for residential facilities involves an examination of design specifications because over loaded facilities may have many more beds than originally were planned for. The primary concern here is determining the quantity of service that is consistent with the provision of acceptable service quality.

Training program service capacity can be assessed by determining the appropriate number of pupils per class and the maximum number of class sessions per fiscal year given the size of the training staff. The same rule of thumb would apply to counseling programs and other one-to-one services.

Whenever possible, refer to information describing the program or materials written during the development of the program to get an understanding of the quantity of service that was seen as appropriate. In some cases, it may be necessary to use generally accepted norms regarding the level of service that is appropriate for a caseworker, counselor or other service provider.

A last resort for determining the appropriate service level baseline for a specific program is to speak with the people administering the program. The reason that this

approach is not encouraged as a primary way to address this step, is that program staff may see your efforts as part of a process to seek justifications to cut back on program funds or increase their caseloads. Because of this problem, program staff may consciously or unconsciously underestimate the appropriate baseline capacity for their service. Wherever possible, interview data should be augmented with other information.

Note that measures of average service level over several prior years are not appropriate measures of baseline capacity as we have defined it here. In this step, we are specifically interested in the optimum capacity of a service, not the average activity level.

For each program, it is very worthwhile to prepare a paragraph describing how the baseline capacity estimate was computed in case the estimates are disputed. It is necessary to compute service capacity only for the most current year for which the planning study is being done. Prior years do not apply to this step. It is very important, however, that the measure of baseline service capacity be stated in the same terms as those used in Step 1.

Step 3: Service Load Ratio Calculation. By now, for each program included in the planning study you should have identified a measure of service quantity, obtained data for the present and a number of prior years on the quantity of

service actually provided (Step 1), and identified the appropriate level of service given the current fiscal year's resources (Step 2). Step 3 involves simply dividing the actual level of service provided during the current year by the baseline level of service determined for that program and multiplying the result by one hundred. For example, if a program has an annual baseline capacity of 4,000 person days of service per fiscal year, and during the current fiscal year 4,700 person days of service were provided, the program is operating at 116% of capacity $(4,700/4,000) \times 100 = 117$.

Table A-1 provides an example of how the results of the three prior steps can be organized. Paragraphs describing how measures of baseline capacity were computed and significant findings regarding the reasons for unusually low or unusually high levels of program activity should be appended to a table of this kind.

Table A-1

CORRECTIONS PROGRAM ACTIVITY LEVELS: 1977-1981

[illegible]

Task 2: Service Load Projections

This section describes the steps associated with projecting the load on each program included in the planning study for several years into the future. Many demographic, economic, and administrative variables affect program activity levels. The same variable may influence different programs in various ways. Increasing numbers of young adult males in the community has been shown to be associated with an increase in the incidence of certain types of crime (Gibbons, et al., 1977: 161). Changes in the unemployment rate also will affect crime rates. Overall population growth influences crime levels in a number of ways. Changes in policy or administrative emphasis may show up on crime statistics if certain types of offenses are targeted for increased enforcement. Even world events such as the ouster of the Shah of Iran (with the resulting increase in Iranian heroin exports) can influence local crime rates. Because of the many different influences on crime rates and corrections program participation, developing accurate projections of future levels of corrections program activity is often a difficult process.

Although an ideal projection methodology would account for the many external influences that impact on the demand for corrections related services, such an elaborate approach simply is not practical given limited data, our inability to predict many community events and inadequate theory on the

specific impact of community events on corrections service demand. For these reasons, a simple trend line analysis projection methodology is recommended here. Although more precise projections would be preferred, the trend line approach will yield reasonably accurate data and the technique is much more workable than more theoretical models.

The projections are based on the assumption that present staffing, facilities, and other resources will neither increase nor decrease in real (inflation adjusted) terms. For this reason, in computing the service load ratio for future years, we will use the same baseline capacity measures calculated in Task 1.

Step 1: Trend Line Analysis. This step describes an approach for projecting program load. One way to project future growth in program activity levels is to look at how activity levels have changed over prior years and then extend the trend line into the future. An analysis of this kind is possible only where at least two years of prior activity level data are available so that the slope of the trend line can be computed. In the case of programs for which at least two years of program activity data are not available, this step in the task can be skipped.

A potential concern in trend line analysis relates to the constraints upon a given program to provide ever increasing quantities of service without associated increases

in program resources. If a program already is operating well above its baseline capacity, projections of continued growth in activity level probably are not realistic. However, because the purpose of this analysis is to distinguish relatively over burdened services from those that are relatively less burdened, this concern does not significantly affect the rankings of future load levels for different programs.

The computational steps necessary to perform the trend line analysis are as follows:

- A. Subtract the activity level for the earliest year for which data are available from the most recent year (see column C of Table 1), e.g.:

$$\text{ACT81} - \text{ACT77} = \text{CHANGE}$$

$$4,700 - 2,000 = 2,700$$

- B. Divide the result of Step A by the span of years involved (1981 - 1977 = 4):

$$\frac{\text{CHANGE}}{(1981 - 1977)} = \text{Average Annual Change in Activity Level (AVCH)}$$

$$\frac{2,700}{4} = 675$$

- C. Compute the average activity level for all prior years. We do not include the current year because we do not yet know how it will change in subsequent years.

$$\frac{\text{ACT 77} + \text{ACT 78} + \text{ACT 79} + \text{ACT 80}}{4} = \text{Average Activity Level (AVACT)}$$

$$\frac{2,000 + 2,300 + 3,800 + 4,400}{4} = 3,125$$

- D. To get the average annual change in program activity level, sum AVCH and AVACT, divide by AVACT, subtract 1 and multiply by 100:

$$\left[\frac{(\text{AVCH} + \text{AVACT})}{\text{AVACT}} - 1 \right] \times 100 = \text{Avg. Ann. \% Change (AV\%CH)}$$

$$\left[\frac{(675 + 3,125)}{3,125} - 1 \right] \times 100 = 21.6$$

Step 2: Population Projections. An important determinant of corrections program activity levels is population growth. Most local planning departments have developed sophisticated population projections for their communities. If local projections are not available, state projections should be obtained. However, if state data are used, it is important that you discuss with local planners how appropriate such estimates are for the area you are dealing with. The statistic that you are seeking to obtain is a separate estimate of the percentage change in community population for each of the next three years. If no population projection data are available, develop your own by performing the trend line analysis described in Step 1. The only difference is that you will use community population for the last five years rather than program activity levels. Assume

that the percentage change in population for the next three years will be the same. Because the program activity level data have been computed on a fiscal year basis, we must assume that population projections by calendar year will yield roughly equivalent results by fiscal year.

Step 3: Program Activity Level Projection. The projection approach described here assumes that two variables, annual community population growth and average annual growth in program activity levels in prior years, have an equal influence on program activity in future years. If no program activity level data are available, use the population projection as the indicator of the likely increase in program activity for that year. Assuming that both population percentage change data (POP%CH) and activity level percentage change data (AV%CH) are available, the computations necessary to arrive at estimates of program activity in future years are as follows:

- A. For each of the projection years, sum the average annual percentage increase in program activity (computed in Step 1 of this Task) with the projected percentage change in population for the projection year. Divide each sum by 2:

$$\frac{AV\%CH + POP\%CH82}{2} = CH\%82$$

$$\frac{21.6 + 10}{2} = 15.8$$

$$\frac{AV\%CH + POP\%CH83}{2} = CH\%83$$

$$\frac{21.6 + 12}{2} = 16.8$$

And so on.

- B. Sum 100 and the computed percentage change coefficient (CH%). Divide the sum by 100 and multiply the result by the activity level for the year prior to the year of interest (See Table A-1, column C):

$$\frac{(100 + CH\%82)}{100} \times ACT81 = ACT82$$

$$\frac{100 + 15.8}{100} \times 4,700 = 5,443$$

$$\frac{(100 + CH\%83)}{100} \times ACT82 = ACT83$$

$$\frac{(100 + 16.8)}{100} \times 5,443 = 6,357$$

And so on.

Step 4: Service Load Projections. For each of the three projection years, divide the projected activity level by the baseline capacity estimate developed for that program in Task 1 (Table A-1, column D). Multiply the result by 100.

Table A-2 provides an example of how the results of Task 2 can be organized. Population projections should be footnoted and the projection methodology should be described or referenced to this workbook.

Table A-2

CORRECTIONS PROGRAM ACTIVITY LEVELS: 1982-1984

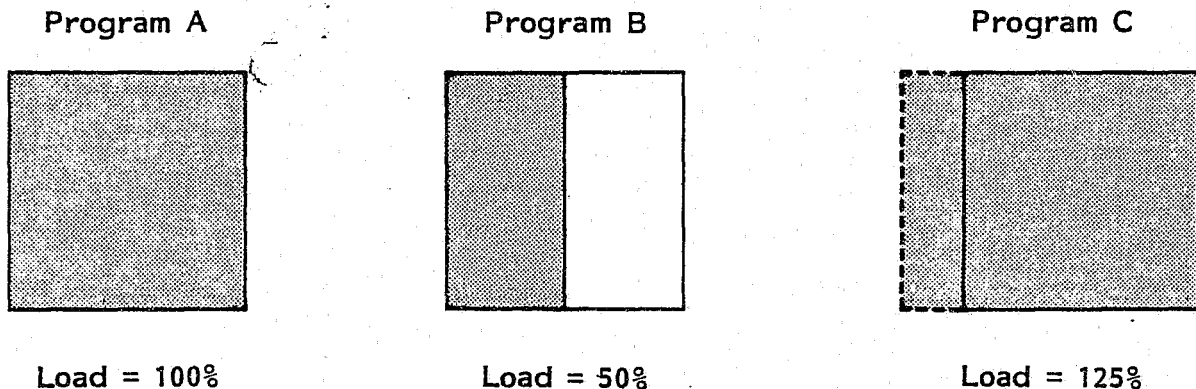
Program Description	Avg. % Change in Activity Level		% Population Change			Program Activity Level			Service Load		
	No. Prior Years	Avg. % Change	1982	1983	1984	1982	1983	1984	1982	1983	1984
Example Program	4	21.6	10	12	8	5,443	6,357	7,298	136	159	182

Task 3: Reallocating Service Load

This Task describes a method for identifying related corrections programs and making comparisons about relative load levels. The approach described here relies heavily on graphic techniques. It allows for a straightforward presentation of the results of the system load analysis to planning project decision makers and corrections program administrators.

Step 1: Program Capacity and Load Diagraming. This step involves drawing diagrams to represent the total capacity and present load on the corrections programs included in the planning study. If you are acquainted with Venn Diagrams, this process will seem familiar to you. The process described in this step focuses on one program. To complete this step, the process must be carried out for all programs included in the planning study. From Table A-1 (columns C and E), identify the current activity level and baseline capacity for a particular program. Using graph paper, draw a square to represent the baseline capacity of the program (define how many cases, person years, etc. are presented by one of the grid squares on the paper). Fill in with lines the portion of the square that represents the current activity level. If the program is operating in excess of its baseline capacity, represent the overflow

using a dashed line for the boundary. Note the following example:



Program A in the diagram above is shown to be functioning right at its capacity. Program B has a system load of 50%. Program C is overloaded by 25%.

Step 2: Functional Grouping. For many persons processed through the corrections system, there may be a number of possible placements. Some people may be placed inappropriately. That is, they should be receiving other services or no services at all. In other cases, it may be that there is little difference as to which of several programs a person may be enrolled in. This situation applies particularly to the instance in which several of the same types of

services are provided in the same area by different departments or agencies.

Identifying overlaps between corrections programs first requires a determination of what is meant by "appropriate placement." A placement may serve a number of different and possibly competing purposes. For example, a placement decision may involve consideration of any or all of the following purposes:

- punishment;
- protecting society from the offender;
- obtaining some restitution from the offender;
and
- rehabilitation.

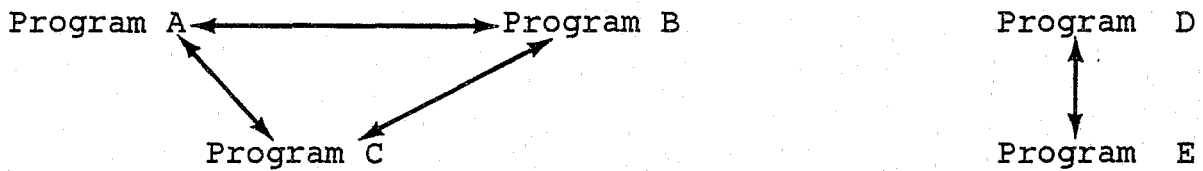
An evaluation of alternative placements will require a candid examination of the purposes which a placement serves. Coming to the decision that, in fact, it is possible for two or more corrections services to share placements implies that a fundamental policy decision has been made regarding the purposes which a placement serves and the functional comparability of two program options.

Depending on the conditions surrounding a particular placement decision, identifying alternative placements may be more or less controversial. For example, where a significant portion of jail beds are occupied by alcoholics, the decision to place these individuals in a community shelter may be relatively uncontroversial. Alternatively, placing

violent offenders in a group home may fail to meet a number of the purposes associated with the placement decision.

It also is important to note that implementing a client reallocation strategy will require support from the agencies making placement decisions (i.e., the courts, probation agencies). There is a natural tendency for individuals making placements to minimize societal risks, either real or imagined, associated with a particular placement. The implementation of a plan to reallocate client load to alternative placements will require an extensive process of cooperation with all involved agencies to ensure that appropriate placements are made. The societal risks of placing some offenders in less restrictive environments are apparent to all. However, the costs to taxpayers of continuing to expand secure residential facilities and the social costs of institutionalizing large numbers of marginal offenders also must weigh heavily in these policy considerations.

This step involves grouping all programs which have some degree of overlap. It is not necessary that programs completely overlap with each other, only that some relationships exist. The figure below illustrates how the functional grouping of various programs could be portrayed:



Program F

The above figure indicates that Program F stands alone. There is no other service in the community that can, to any degree, appropriately share clients with Program F. Programs D and E form a distinct pair. The figure indicates that an unspecified number of persons in Program D could be placed appropriately in Program E and vice versa. The cluster of services including Programs A, B, and C indicates that all of these programs, to some degree, could share clients. It is important to stress that this analysis does not require that all persons placed in a particular program be suitable for an alternate program for the programs to be related.

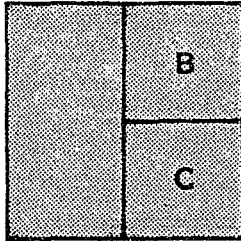
Step 3: Program Overlap Analysis. This phase of the analysis involves estimating the portion of cases in each program that appropriately could be placed in related programs. These estimates require a good working knowledge of the nature of the programs included in the planning study

and the individuals that are served by them. Estimates should be conservative and a written explanation for the quantification of the overlap should be prepared.

For example, if Program C is a jail and, on average, about 15% of the jail space is occupied by alcoholics who have been incarcerated for public drunkenness with no related misconduct, then this group could be considered eligible for some less restrictive alternative. Perhaps there is a community shelter which would be appropriate for this individuals (e.g., Program A). Applying a conservative margin, approximately 12.5% of Program C clients (alcoholics) are deemed appropriate for Program A. Placement decisions, of course, would be carried out on an individual basis.

To show graphically the portion of a particular program's clients that could be placed in another program, shade the number of grids corresponding to that number. The results of the overlap analysis could appear as the figures below. The figures indicate that a certain percentage of the capacity of programs A and C could be allocated to other programs.

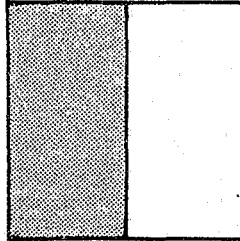
Program A



Load = 100%

Eligible for B = 25%
Eligible for C = 25%

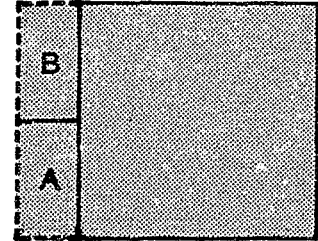
Program B



Load = 50%

Eligible for A = 0%
Eligible for C = 0%

Program C



Load = 125%

Eligible for A = 12.5%
Eligible for B = 12.5%

Task 4: Client Reallocation

In this task, the procedures necessary to develop recommendations regarding the shifting of client load are described. The goal of this process is to identify how client placements may be altered to reduce overloads and to better utilize resources. Rather than to change the placements of existing clients, alteration of screening and placement processes may be the best method to achieve the reallocation.

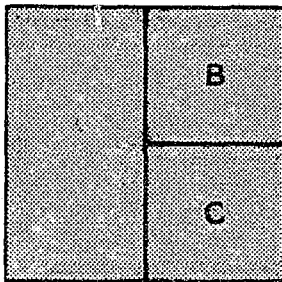
Step 1: Creating a Common Denominator. It is important to note that the overall capacity of different programs varies widely and to reduce the overload in C by a few percent by moving clients into A and B might create significant overloads in those services if they have relatively small capacities.

For each cluster of related programs, it is necessary to create a common denominator. The best approach is to use the individual client. What is the extent of service provided to one client during a year relative to the total capacity of the program? For a detention facility with a baseline capacity of 80,000 person days of service per year (e.g., 230 beds with a 5% vacancy factor) and an average detention period of 50 days, one client represents about one sixteen hundredth of annual capacity. For a drug rehabilitation program with a capacity of 800 clients per year, one client represents one eighth of one percent of capacity. To reduce the detention program's load by one percent by placing 16 people in the drug rehabilitation program would increase the rehabilitation program's load by 2 percent. Once the number of interchangeable "annual client service units" have been computed, the relative capacity of the programs included can be shown graphically in terms "service units". Service units represent the baseline number of clients which, on average, each program can serve in a given year.

Note the difference between service units and the capacity measures developed in Task 1. A service unit is the portion of a particular program's total annual capacity necessary to meet the average needs of one client. In the case of the detention program in the example above, one

service unit equals 50 person days. By using the same graphic techniques employed in Task 3, except using the service unit as the common measure, the relative "size" of each program can be illustrated. It is necessary to use the same number of service units per grid cell in these drawings.

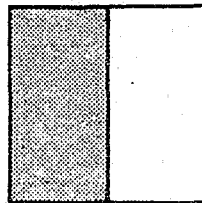
Program A



Load = 100%

Eligible for B = 400 s.u.
 Eligible for C = 400 s.u.
 Baseline Capacity =
 1,600 s.u.

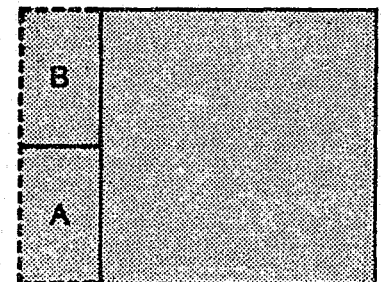
Program B



Load = 50%

Eligible for A = 0 s.u.
 Eligible for C = 0 s.u.
 Baseline Capacity =
 800 s.u.

Program C

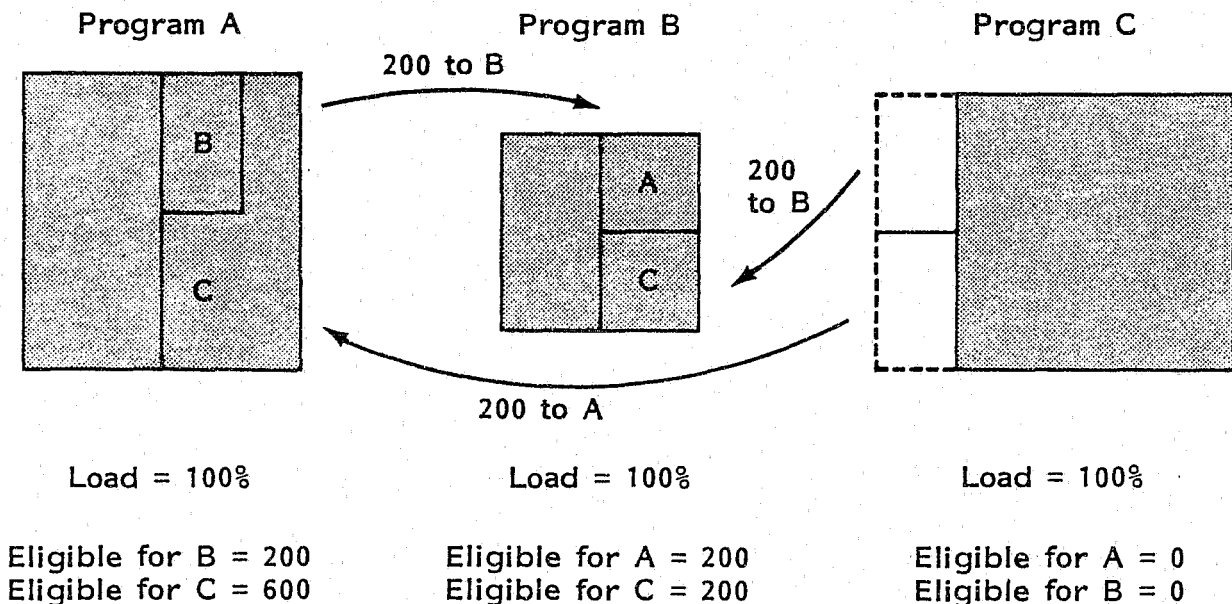


Load = 125%

Eligible for A = 200 s.u.
 Eligible for B = 200 s.u.
 Baseline Capacity =
 1,600 s.u.

Scale: 800 service units (s.u.) per inch.

Step 2: Shifting Client Load. The example drawings from Step 1 of this task indicate that Program C is overloaded by 400 service units. We know from Step 3 of Task 3 that one quarter of the baseline capacity of Program C clients could be placed appropriately in Programs A and B (in equal amounts). Program B has excess capacity of 400 service units (50% of baseline capacity). Although Program A is operating at full capacity, 200 clients could be shifted to Program B to make room for clients from Program C. The simple solution of moving all overflow from Program C to Program B will not work because only half of the amount of the overflow could be placed appropriately in Program B. The "solution" to the example overload situation discussed here is shown graphically below.



It is likely that many "real life" situations will arise when it is not possible to completely eliminate overloaded conditions by reallocating eligible clients to programs with available capacity. If there still are clients in an overloaded program who could be placed appropriately in other programs after all extra capacity in these programs has been filled, the option exists to overload these programs with clients from the program of interest to balance the degree of overload across the group of related programs. This decision to selectively overload all programs should take into account the relative impact of overloading on each program. The concern here is that overloading may be more damaging to some programs than to others.

To the extent that recommendations to shift client load are implemented, projects of program activity level and load should be revised. Revising the projections can be done by translating service units back into capacity measures and applying the appropriate multipliers for projected years. In order to perform the cost analysis described in Appendix B, it will be necessary to have service load projections under both situations.

EXERCISES

1. Develop service level measures for each of the social service and corrections related programs identified in the flowchart completed in conjunction with Chapter 3.
2. Identify the baseline capacity of each of the programs for which service level measures were developed. Be sure to use the service level measures for the unit measurement.
3. Identify the prior activity levels of the programs for which service and measures were developed.
4. For the current fiscal year, calculate service load ratios for the programs you are working with. Taking the results from the first four exercises, fill in a table similar to Table A-1 in this appendix.
5. Perform a trend line analysis for the programs you are working with.
6. Identify the area population growth for the next three years and record it as a percentage change per fiscal year.
7. Using the results of the trend line analysis in Exercise 5 and the population projection from Exercise 6, project program activity levels for three years.
8. Calculate service load projections for three years. Taking the results from Exercises 5 through 8, fill in a table similar to Table A-2 in this appendix.
9. Diagram program capacity and load according to the process described in Task 2, Step 1.
10. Group programs according to their capabilities to appropriately share clients.

11. Perform an overlap analysis on the programs that were grouped in Exercise 10.
12. Create common denominators (service units) for each of the cluster of related program identified in Exercise 10 and illustrate the relative capacities of the programs graphically.
13. Using the graphics developed in Exercise 12, shift client load in each of the clusters of related programs to minimize program overloads.
14. Revise service activity level and load projections based on the reallocation strategy developed in Exercise 13.
15. Using the revised projections, graphically illustrate the impact of projected growth on program load if program resources are held constant.

Appendix B
SYSTEM COST ANALYSIS

Scott Brown, Ph.D.

SYSTEM COST ANALYSIS

Overview

Purpose. The purpose of the cost analysis is to estimate the funding necessary to meet program demand in future years under a number of different scenarios. This appendix describes the procedures for estimating the costs of providing social and corrections related services under the following three different situations:

- Present Trends. Assumes that present load level of overloaded programs will be maintained and the load level of other services will not exceed 100%;
- Demand Reallocated. Same as Present Trends analysis except that the redistribution of system load based on the procedures in Appendix C is used as the basis for cost analysis; and
- Demand Reallocated/No Overload. Same as Demand Reallocated Approach except that sufficient resources necessary to keep all programs from being permanently overloaded are provided for in the cost analysis.

The System Cost Analysis depends upon the System Load Analysis described in Appendix A for much of its data. The

System Load Analysis is a method for comparing social and corrections service demand with system capacity in order to identify ways to reallocate service load so that overloaded conditions can be reduced and available resources better used. Results of the System Load Analysis that are important inputs in the System Cost Analysis include:

- projected service demand based on current trends;
- program baseline capacity; and
- actual Service load.

In order to perform the reallocation of system load, it is necessary to hold program resource levels fixed. Although there are mathematical techniques for computing optimal allocations of service demand and resources simultaneously, they are beyond the scope of this workbook.^{1/} Assuming that much of the work associated with the optimal allocation of demand has been achieved through the procedures described in Appendix A, we can now take a look at program costs and determine what resources will be required to maintain the present level of service quality and what extra costs would be associated with increases in service quality (i.e., no overload scenarios). The cost analysis also enables us to identify ways to achieve cost savings without making sacrifices in service quality.

^{1/} These techniques, called linear programming models, are described in Cooper, L., Bhat, U. and LeBlanc, L. Introduction To Operations Research Models (Philadelphia: W.B. Sanders Co., 1977).

Organization. The appendix opens with a discussion of cost analysis in general. The following sections present the tasks associated with System Cost Analysis. Task 1 involves the procedures to gather and compile necessary cost data. Task 2 describes the "present trends" cost analysis procedures. Task 3 involves the "demand reallocated" cost analysis. The "no overload" analysis is described in Task 4. Following the cost analysis tasks, a section of the appendix describes how to present the results of the cost analysis and discusses data interpretation. At the end of the appendix, a sample of exercises related to the cost analysis tasks are included.

General Concerns Regarding Cost Analysis

Cost Estimates Are At Best Very General. Estimates of the future, and even current, costs of social and corrections related programs are just that -- estimates. For many programs, it is difficult to obtain accurate and complete cost data. For some programs, cost information is buried in general agency funding data and nearly impossible to dig out. Assuming accurate cost data can be obtained, the problem of providing good service capacity data can be a barrier to calculating the relative costs of different program alternatives or projecting costs based on demand data. Specific events that affect the cost of providing services and inflation in general also can act to throw off cost projections. In sum, cost analysis should be entered into with

the resolve to provide the most accurate estimates possible, but with the recognition that a certain amount of error is bound to creep into the calculations.

Economies of Scale Must Be Taken Into Account.

Many

social and corrections related services benefit from substantial economies of scale. Economies of scale refer to reductions in service unit costs associated with increases in program capacity. For example, on a per client basis, it would be very inefficient to construct a one-person jail. Alternately, beyond a certain size, many services have negative economies of scale because the service or facility becomes unmanageable and program overhead costs skyrocket while service quality drops. To perform the cost analysis, it is necessary to designate a specific program or facility size upon which service unit cost estimates are based. Moreover, the analysis must recognize that half a jail or three quarters of a drug rehabilitation program are not practical responses to overloaded facilities or programs. In other words, it is necessary to designate the smallest number of service units associated with a cost-effective increase in service capacity for each program.

Cost Analysis Is Not Meaningful Without a Good Understanding of Program Benefits. One way to reduce the per client (service unit) costs of a jail is to overcrowd it. By substantially increasing the inmate population without

significantly increasing overall facility capacity, substantial cost efficiencies can be realized (assuming there are no costly riots). The method described in this appendix assumes, as a minimum, that social and corrections related service quality will be maintained at traditional levels. Attempts to use this analysis to advocate service overloading as a way to reduce costs fail to recognize that these programs exist to serve a purpose. Defeating the purpose of a program to save money is a far worse alternative than providing no service at all.

Quantitative Analysis is Only One Aspect of the Budgetary Process. Spending tax dollars is primarily a political activity. Although the numbers that result from a carefully conducted System Cost Analysis can be very persuasive, if a particular programmatic option is contrary to strong community values, that option will find little support among local government decision makers. Similarly, a program option that is likely to put a large number of government employees out of work will be unpopular in the bureaucracy. Achieving meaningful reform is a difficult process. Being armed with a high quality cost analysis will help, but to achieve change, the full constellation of political and community decision makers will have to be brought into agreement.

Task 1: Cost Data Gathering

The purpose of this task is to identify the present and near-term costs of providing specific social and corrections related services. These costs must be expressed in a form that is meaningful to the service capacity planning process. Beyond quantifying what a specific program costs, it is necessary to estimate the average cost of serving one client (cost per service unit).

Step 1: Gather Program Cost Data. For each of the social and corrections related programs slated for inclusion in the planning study, all available cost data must be compiled. Program budgets, accounting resources management systems and accounting staff are important information sources. A significant part of this analysis involves identifying any off-budget or other obscure costs associated with the program. For example, are there administrative costs not included in the budget line item? Is debt service on bonds included? Cost data should be compiled on a fiscal year basis. Once the information has been assembled, the results should be discussed with relevant administrative personnel to assure that the results are complete and accurate.

The treatment of capital and other upfront costs of implementing some social and corrections related services can complicate the cost analysis. For those services that have minimal upfront costs, determining annual program costs

is fairly straightforward. For example, a program in which facility space and equipment are rented will have relatively fixed costs from year to year assuming cost data are inflation adjusted and program services are held constant.

A program involving a large front end construction expenditure can be budgeted in a number of ways. If life cycle costing is used, the annual debt service on the loan (for example, bonds) and necessary maintenance reserves can be budgeted much like rent. Where an appropriated amount of money is used to pay for the cost of construction outright, the "rent" for the facility won't show up in annual cost data. One way to deal with these upfront costs is to artificially distribute them throughout the life of the facility as if the money had been borrowed and was being paid back.

To convert an upfront cost to monthly "rent" the following information is required:

Annual Interest Rate:	i	(.12)
Effective Life (months):	n	(360)
Upfront Costs:	c	(\$1,000,000)

To calculate the monthly "rent" the following formula is used:

$$\frac{\frac{C}{1 - \frac{1}{(1+i_m)^n}}}{i_m} = \text{monthly "rent"}$$

To compute the monthly "rent" the following steps can be taken:

1. $i/12 = i_m$ (i_m - monthly interest cost)

e.g.:

$$.12/12 = .01$$

2. $\frac{1}{(1+i_m)^n} = Y$

e.g.:

$$\frac{1}{(1+.01)^{360}} = .0278$$

3. $\frac{1-Y}{i_m} = Z$

e.g.:

$$\frac{1-.0278}{.01} = 97.22$$

4. $\frac{C}{Z} = \text{monthly "rent"}$

e.g.:

$$\frac{\$1,000,000}{97.22} = \$10,286$$

The approach above equates spending a certain amount of money in Year One with the monthly expenditures associated with borrowing the money and then paying off the loan.

Although there may be no expenditure associated with this form of "rent", this procedure for distributing the costs of an upfront expenditure over the life of a facility allows for comparison of the true costs of different social and corrections-related options. Again, it is important to stress that this procedure for imputing monthly rent will be necessary only where an upfront appropriation is used to finance a facility.

Another important concern in cost data gathering involves obtaining data that accurately distinguish the current cost of providing service from the marginal cost of increasing service capacity. This distinction takes into account the fact that a jail which was built twenty years ago and financed with bonds yielding 3% interest will have a far lower "rent" than a new facility financed with municipal bonds at 10%.

Programs that do not have substantial upfront costs will have a marginal cost per service unit very similar to the average cost per service unit, assuming that attention has been paid to economies of scale of providing service. For example, an alcohol abuse program may require an instructor, a classroom, and minimal administrative overhead to serve 150 people (assuming several different classes). To double the capacity of the program would roughly double the total cost (rent, personnel, and administration).

However, to increase capacity by 50% also would likely double the total cost because the additional classroom space

would have to be obtained, another counselor hired and administrative costs incurred. In this way, if certain economies of scale are attended to, budgeting for services without large upfront costs may involve simply increasing costs directly proportionate to the increase in service capacity.

The reason that programs involving large upfront capital expenditures must be treated differently is that the rent for the special facility does not necessarily increase with inflation. By financing capital costs with long term fixed interest rate bonds, the debt service costs on the facility remain fixed despite the fact that inflation continually acts to push up the replacement cost of the facility. Hence, when time comes to build an additional facility, or replace the old one, the increase in monthly debt service cost can be substantial. Furthermore, twenty years ago, long-term municipal bond interest rates were less than 5%. As of this writing, municipal bond interest rates are over 10%. The high cost of financing, brought on by inflation and an unstable monetary supply, is another significant reason why it is so much more expensive to build jails now than twenty years ago.

The best way to gauge the marginal cost of increasing service capacity is to have a study done which takes into account planning costs, site acquisition and preparation, materials, labor, and financing. Then, using this information, the monthly debt service associated with financing an

increase in service capacity can accurately be planned. Without the benefit of a major study, contacting other local governments to find out the costs they incurred in building comparable facilities during the past several years could be workable. A final approach would involve selecting a comparable facility, built within the last ten years and inflating the total development cost by ten percent per year (a liberal inflation rate assumption) up to the present. Then, using the current municipal bond interest rate (assume 10%), compute the monthly "rent" using the calculations described earlier in this step.

Step 2: Checking for Economies of Scale. For each social or corrections related program included within the cost analysis, the minimum meaningful service or facility size must be identified. For example, the alcohol abuse program described in Step 1 had a cost effective minimum size of 150 service units (assuming the classes last one year). To calculate the average cost per client served (service unit) it is necessary to identify the appropriate program or facility size. What are the typical units that planners have used in thinking about service capacity:

- class?
- group home?
- jail wing?
- case worker?

What is the average baseline service unit capacity of the typical service providing program or facility? This step recognizes that service demand measures (expressed in terms of client needs) are not the same as service supply measures (e.g., classes, group homes, etc.). In this step we identify the typical unit of service supply.

To complete this step, all of the costs (rent, staff, supplies, administration, etc.) of providing the typical unit of service supply for each program must be determined. If total program costs have been identified from Step 1, it is possible to simply divide total program costs by number of service providers, classes, or activities that are funded. This is a rough estimate, but for planning purposes it will serve in the absence of detailed cost studies.

Step 3: Cost Per Service Unit. This step involves simply dividing the annual cost of the minimum cost effective program service or facility by the average baseline capacity (service units) of that program or facility. The result is the cost per service unit of the facility or service assuming that the service is operating at its baseline capacity.

Step 4: Inflate the Cost. To project the cost of providing social and corrections related services in later years, it is important to take inflation into account. In this step, services that do not involve substantial capital

costs must be distinguished from services with capital costs. Those services without capital costs can be inflated in a straightforward fashion by increasing the cost per service unit at a rate of 10% per year (or another inflation rate if it is deemed more appropriate).

Services involving substantial capital cost must be treated differently. For existing facilities, monthly "rental" costs, including debt service on lands or the imputed "rent" for facilities built from appropriations, all remain fixed. Other costs, including administration, staff, maintenance, and supplies, all should be inflated. These calculations will yield the annual cost of maintaining existing facilities. The marginal cost calculations described in Step 1 should not be confused with these calculations.

Table B-1 provides a framework for tabulating the results of Task 1. The analysis of funding sources should be appended to this table. Note that column D of the table corresponds to the costs of providing service for programs with minimal capital costs and the costs of operating existing services with major capital costs. Column E can be used to record the cost of building new facilities or providing additional services whereas the costs of operating existing services are less than the costs of providing additional service capacity.

Table B-1
PROGRAM COST DATA SUMMARY TABLE

A	B	C			D			E		
Program Description	Total Budget	Average Facility: 1981			Projected Cost/ Service Unit			Projected Marginal Cost/ Per Service Unit		
	1981	Size*	Cost	Cost/Service Unit	1982	1983	1984	1982	1983	1984

*Service Units

Task 2: Present Trends Cost Analysis

The purpose of this task is to identify the costs of maintaining the present level of service load relative to changes in service demand over the next three years. This analysis makes four general assumptions:

- Underutilized services (services with loads at less than 100%) will have their capacities increased only after their load has reached 100%. Once load has reached 100%, capacity will be increased only enough to keep the load from exceeding 100%.
- Overloaded services (services with loads over 100%) will have their capacities increased only enough to maintain the level of overloading experienced during the current year of the planning study.
- No reallocation of client service load based on the Service Load Analysis has been implemented.
- No reallocation of program resources based on the relative cost efficiency of various program alternatives will be implemented.

Assuming the calculations required by the Service Load Analysis have been completed and the cost data described in Task 1 have been accumulated, the procedures associated with this task are straightforward.

Step 1: Project Necessary Service Capacity. In the System Load Analysis, the likely demand for program services in future years was calculated in terms of service units. To determine the necessary service capacity to meet this demand (e.g., the minimum number of caseworkers, classrooms, facilities, etc.), divide the total demand by the average

service providing unit baseline capacity. In the case of services that currently are overloaded, we wish to provide only enough capacity to maintain that level of overload. We take the overload into account by augmenting the baseline capacity of the service providing unit by an overload factor. In the case of services that currently are not at 100% load, we assume full load in later years. Note that it is necessary to round up when doing the division since we cannot provide half a class, caseworker, or residential facility.

To project the necessary capacity, the calculations for one program included in the planning study are as follows:

$$\text{ACT82} / \left(\text{FAC} \times \frac{\text{LOAD81}}{100} \right) = \text{NFAC82}$$

Where:

- ACT82 = Program activity level in 1982 expressed in service units
- FAC = Average annual service providing capacity (in service units) of the appropriate service providing unit (e.g., caseworker, class, residential facility)
- LOAD81 = Current year percentage load of overloaded facilities, set this value to 100 in the case of programs with a load less than 100.
- NFAC82 = The number of service providing units necessary to meet demand. Note that it is necessary to round up - e.g., no partial facilities, caseworkers, etc.

The procedure described above must be carried out for each of the three years for which service demand and capacity information is being projected. For example, to compute the 1983 service capacity requirement, the calculation would be:

$$\text{ACT83} / (\text{FAC} \times \frac{\text{LOAD81}}{100}) = \text{NFAC83}$$

Note that 1981 load level is used in all the equations because our aim is to maintain the present level of load on the system.

Step 2: Calculate The Cost Of Providing Service. This step has two distinct parts. In the first part, the techniques for computing the cost of providing service for programs with minimal upfront capital costs are computed. In the second part, the cost calculation procedures related to increasing the capacity of programs with significant upfront costs are described.

For programs in which the marginal costs of providing additional service capacity are not significantly greater than the cost of maintaining current service capacity, the translation of future service capacity requirements into cost information involves multiplying the number of service providing units required in each year by the average total cost of the service providing unit.

Using the cost data obtained in Task 1, the average total cost of a service providing unit can be obtained by multiplying the average cost per service unit (in a given year) by the average number of service units provided by a given service providing unit. For example, if the total cost of providing a person with alcohol abuse rehabilitation services in a given year is \$2,000 and the average alcohol abuse center has a capacity of 150 service units, then the annual cost would be \$300,000. These costs must be computed separately for each of the three projection years because inflation will act to increase costs.

To obtain the total program related cost, simply multiply the average total cost of a service providing unit for the year in question by the number of service providing units required (computed in Step 1 of this task).

For programs with significant upfront capital costs, the cost projection method involves a few more computations. First of all, calculate the cost of providing the existing level of service capacity in future years. In other words, without adding any new facilities, what will be the cost of providing service for the next three years taking inflation into account? To compute this cost estimate, simply multiply the number of service units provided in the current year by the cost per service unit for each of the next three years.

For programs with major capital costs, it is then necessary to factor in the marginal cost of adding capacity.

For the year following the current year, if no additional service capacity is required, the baseline cost estimate will serve. If one or more new facilities must be brought on line, the marginal annual cost per service unit for the number of additional service units must be added to the cost total for that year and for all subsequent years. If another facility must be added in the third year, the same procedure applies.

When adding marginal costs of expanding service capacity to the running total, this analysis assumes that these costs will be incurred immediately during the year in which these facilities are required and then continually as long as these facilities are in existence. This is a conservative assumption since construction delays may prevent these facilities from going into operation for one or more years from the time that they are actually needed.

Task 3: Demand Reallocated Cost Analysis

This task is exactly the same as the Present Trends cost analysis described in Task 2 except that, rather than using the service demand data projected from present trends, the service demand data obtained from the load reallocation process described in Appendix A are used.

Performing this analysis is an effective means to demonstrate the cost impacts associated with implementation of the load reallocation process. In many cases, despite the fact the overloaded conditions will have been substantially

reduced, the cost analysis will indicate that the actual costs of providing service will have stayed the same or decreased. Costs will be less under the demand reallocated scenario particularly when demand has been shifted from services with substantial capital costs to those in which marginal costs are roughly the same as average costs per service unit.

To perform this cost analysis, simply replace the service demand data used in Task 2 with the service demand data that were the outcome of reallocating demand as described in the System Load Analysis in Appendix A.

Task 4: No Overload Cost Analysis

This task also has the same computational procedures as Task 2, except that there is no provision for overloading. Completing this task will indicate the costs of providing social and corrections related services if service capacity is increased to prevent any program from exceeding its baseline service capacity. This task could be performed using the "demand reallocated" data that were used in Task 3 or the "present trends" data that were used in Task 2. It is recommended that the "demand reallocated" data be used because total costs will be less under the situation in which resources are most efficiently allocated.

The only computational difference between the analyses performed in this task and those performed in Tasks 2 and 3 is that no overload factor is included in the calculation of

annual service capacity requirements. So, instead of using this equation:

$$\text{ACT82} - (\text{FAC} \times \frac{\text{LOAD81}}{100}) = \text{NFAC82}$$

This equation is used:

$$\text{ACT 82} - \text{FAC} = \text{NFAC82}$$

The rest of the computations are exactly the same. To the extent that there is significant overcrowding in the system, the costs associated with eliminating overloaded conditions could be substantial and this task will show much higher costs than either of the two previous tasks.

Presenting and Interpreting Results of the Cost Analysis

Table B-2 provides a possible way to organize the results of the cost analysis. The table can be used to illustrate increases in social and corrections related program costs over a three year period under present conditions. The comparative savings associated with a reallocation of system load can be shown. Finally, the cost of providing services without overloading service capacities can be illustrated.

This information can be used to support the process of budgeting for social and corrections related services. The analysis provides a carefully derived set of estimates regarding the costs of existing services based on expected growth in demand over the next three years.

Table B-2
RESULTS OF THE COST ANALYSIS

Program Description	Present Trends Costs			Demand Reallocated Costs			No Overload Costs		
	1982	1983	1984	1982	1983	1984	1982	1983	1984

To the extent that the demand reallocation process allows for better quality social and corrections related services without increases in service capacity, the cost analysis can illustrate the cost savings associated with the process and can be used to support implementation of demand reallocation policies.

One of the more general purposes to which the cost analysis data can be applied involves decision making relating to major expenditures to expand the capacity of services with high marginal costs. If the analysis indicates that a major capital expense will have to be incurred in the near future, it may be possible to postpone increasing the service capacity by increasing the capacity of related services that have comparatively low marginal costs. Developing recommendations along this vein would require examining the related programs grouped during the load analysis to determine the extent to which excess demand could be appropriately reallocated to other programs that do not have high marginal capacity expansion costs. If the option exists, then it would be necessary to compute the cost analysis based on the new demand data that results from policies to shift a portion of clients to the services that do not have high costs associated with capacity expansion.

EXERCISES

1. For a human or corrections related program for which system load analysis data are available, determine the total cost of operating the program for the current fiscal year.
2. For the program in Exercise 1, determine:
 - A. The average cost-effective facility/service size;
 - B. The average cost per service unit.
 - C. The marginal cost of providing additional service capacity.
3. Assuming an annual interest rate of 10%, an effective life of 30 years and an upfront cost of \$1 million, compute the monthly imputed "rent" of a corrections facility.
4. For the program in Exercise 1, inflate the average cost year service unit at a rate of 10% per year for three years.
5. For the program in Exercise 1, perform a Present Trends cost analysis.
6. For the program in Exercise 1, perform a Demand Reallocated cost analysis.
7. For the program in Exercise 1, perform a No Overload cost analysis.

Appendix C

DATA ELEMENT EXAMPLES

Appendix C

DATA ELEMENT EXAMPLES

Preconfinement <u>a/</u>	Nonresidential Programs <u>b/</u>	Residential Confinement <u>c/</u>	Post Confinement <u>d/</u>	Costing <u>e/</u>	Other Descriptive Information <u>f/</u>
Number of arrests	Type of program	Confinement facility (e.g., jail alcohol detoxification center, halfway house)	Type of program	Facility rent: real or imputed	Number of community corrections programs that no longer exist
Number of citation releases	Capacity		Capacity	Personnel administration	
Number of persons participating in diversion programs	Average case-load size	Capacity	Residential or nonresidential	Materials and supplies	Type of community corrections programs that no longer exist
	Staff size		Staff size		

- a/ The preconfinement category refers to information about the processing by law enforcement and the courts of individuals through the system. It also includes all data element pertaining to existing pretrial and diversion programs.
- b/ The nonresidential category includes all programs in which a person may be sentenced including probation. This category does not include pretrial options such as diversion programs.
- c/ The residential confinement category includes all facilities in which a person may be confined.
- d/ The post confinement category refers to programs serving as conditions of release from confinement, including parole, halfway houses, etc. These programs may be either residential or nonresidential.
- e/ Costing refers to information needed to estimate the funding necessary to meet program demand in future years.
- f/ In addition to a quantitative assessment of the information gathered, the planning group must familiarize itself with the state laws, county ordinances, and the missions and goals of the various programs. The group should know what the political realities are and how to anticipate the citizenry's reaction to proposed changes in the criminal justice and human service system. Community demographics refers to information describing your community and its members.

Appendix C (Continued)

DATA ELEMENT EXAMPLES

Preconfinement <u>a/</u>	Nonresidential Programs <u>b/</u>	Residential Confinement <u>c/</u>	Post Confinement <u>d/</u>	Costing <u>e/</u>	Other Descriptive Information <u>f/</u>
Arresting charge	Average length of client participation	Average daily population	Average length of participation	Bond debt service	Client profile (e.g., race, sex, age, marital status, present residence, educational level, employment history, criminal history)
Number of persons released through such options as third party release, release on recognizance, bail, etc. (Identify pretrial release options available and determine the number of persons to use that program over a period of time)	Length of mandatory participation in program, if such exists	Staff size	Type of offense	Marginal costs	Community political/power structure
	Type of offense	Average length of stay	Type of services offered	Service economies of scale	Current policies of: C - 2
Amount of bail required		Total person days			a. Law enforcement
Failure to appear rates for those released pretrial (by method of release)		Type of offense			b. Courts
Time between arrest and pretrial confinement		Length of sentence			c. Corrections
		Type of program-matic services			Review of:
					a. State laws
					b. County ordinances
					c. Jail standards
					d. Mandated program goals

Appendix C (Continued)

DATA ELEMENT EXAMPLES

Preconfinement <u>a/</u>	Nonresidential Programs <u>b/</u>	Residential Confinement <u>c/</u>	Post Confinement <u>d/</u>	Costing <u>e/</u>	Other Descriptive Information <u>f/</u>
Time taken for pre- paration of presen- tence investigation report					Community demo- graphics:
Time between arraignment and preliminary hearing					a. Population size
Time between preli- minary hearing and trial					b. Ethnicity
Time between trial and conviction					c. Per capita income
Type of offenses for which jail sentences are given					d. Age distribution
Percent released after first appearance					e. Community size
Comparison of offense on arrest vs. offense on completion of court proceedings					f. Economy (manu- facturing/non- manufacturing)
					g. Unemployment rate
					h. Percent of area that is urban, suburban, rural
					i. Government structure

Appendix D

COMMUNITY TOLERANCE QUESTIONNAIRE

This questionnaire has been adapted from one developed by Bonnie S. Wood regarding community members' perceptions of community based treatment.

LAKESIDE COUNTY GOVERNMENT^{a/}

Dear Participant:

In cooperation with my office, the Lakeside County Criminal Justice Planning Group is conducting a survey to obtain your reaction to locating an adult Pre-Release Center in the Alpine section of Lakeside County. The results of this study will assist the County Pre-Release Center. In order to collect the necessary information, the Lakeside County Criminal Justice Planning Group has prepared a confidential questionnaire which you will find attached. I would greatly appreciate your cooperation in taking a few minutes to complete it and return the questionnaire in the attached envelope by April 15, 1982.

Sincerely,

John Tucker
Brad Smith
Helen Murray
Susan Clark
Jessica Rosenthal
Lakeside County Council

^{a/} If a mailed questionnaire is used, we suggest that a letter similar to this one be used to help elicit the maximum number of returned questionnaires. This letter should briefly explain the purpose of the questionnaire, what will be done with the information, and the requested return date. If possible, use a letterhead and a signature that lends legitimacy and official status to the letter.

Thank you for taking the time to complete this questionnaire which has been prepared by the Lakeside County Criminal Justice Planning Group. This questionnaire is being sent to a sample of individuals who live in the Alpine section of Lakeside County.

Your responses are completely confidential and will only be seen by the Planning Group Staff. Please return the questionnaire in the enclosed envelope by April 15, 1982.

Again, thank you for your time.

Sincerely,

Mary Smith
Planning Coordinator
Lakeside County Criminal
Justice Planning Group

Before you complete this questionnaire, please read the following information.

The Lakeside County Council is considering the possibility of building a 50 bed Adult Pre-Release Center in the Alpine section of Lakeside County. Individuals who are presently sentenced to County Jail or State Prison would be eligible to be released to this Center 120 days prior to the end of their sentence. These individuals will be carefully screened to determine whether or not they could be referred to the Center. Criteria for referring an individual will include work history, ties to the community, and a psychological profile. The Pre-Release Center will provide a structured atmosphere for its clients to help them make the transition from living in a jail/prison to returning to the community. Individual and group counseling sessions, and employment and training assistance will be provided to all clients.

Below we would like to ask you some questions concerning how you would feel if the County Council decided to build an adult Pre-Release Center in your community. Please indicate your response to each statement by checking the choice that most accurately pertains to you.

1. Which of the following best expresses your opinion toward the idea of building a Pre-Release Center in your community.
 - () Do not like it
 - () Somewhat dislike it
 - () Have no feelings about it
 - () Moderately favor it
 - () Strongly favor it

2. Do you think the concept of releasing adult prisoners from jail or prison into a community based treatment facility such as a Pre-Release Center is a good idea?

☐ Definitely not

☐ Probably not

☐ Probably yes

☐ Definitely yes

3. Do you think there are any benefits of a Pre-Release Center?

☐ None

☐ Few

☐ Some

☐ Many

→ If you answered that there are at least a few benefits could you please describe them.

4. Do you think there are any drawbacks to a Pre-Release Center?

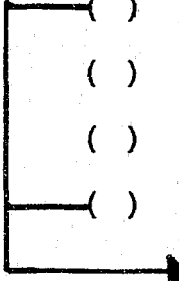
☐ None

☐ Few

☐ Some

☐ Many

→ If you answered that there are at least a few drawbacks could you please describe them.

5. How do you think placing an inmate in a Pre-Release Center compares with requiring the inmate to complete his/her sentence in jail or prison?
- ☐ It is a worse method
 - ☐ It is just as good a method
 - ☐ It is a better method
6. How would you feel if the Lakeside County Council approved funds to build a Pre-Release Center within a 5 mile radius of your home?
- ☐ Would strongly oppose it
 - ☐ Wouldn't like it
 - ☐ Wouldn't really care
 - ☐ Would support the idea
7. How did you first learn that the County Council might build an adult Pre-Release Center in your community?
- ☐ This questionnaire
 - ☐ New Media
 - ☐ Friends
 - ☐ Civic group/organization
 - ☐ Other (please specify)
-  If you learned about it from another source have you personally attempted to gain additional information about the Pre-Release Center?
- ☐ No
 - ☐ Yes
8. Were any of your neighbors informed of the possible intention to build a Pre-Release Center in your community?
- ☐ No
 - ☐ Yes
 - ☐ Don't know

9. Do you think it is important that community members be made aware of the intention to build a Pre-Release Center?
- () No it's not at all important
- () It's somewhat important
- () It's very important
10. To the best of your knowledge are there any adult or juvenile community based treatment facilities in your community (e.g., halfway houses, group homes)?
- () No
- () Yes
- () Don't know
11. Do you think a community advisory board should be set up to provide input into the design of a Pre-Release Center?
- () No, it is not necessary
- () Not sure
- () Yes, I think so
- () Definitely yes
12. Should members of the community be provided the opportunity to make suggestions to the County Council concerning the Pre-Release Center in any of the following areas?

	<u>NO</u>	<u>YES</u>
A. Where the Pre-Release Center is located	()	()
B. How many clients the Center will accomodate	()	()
C. Pre-Release Center's admission policy	()	()
D. Pre-Release Center's rules such as curfew	()	()
E. Hiring of Center staff	()	()

13. Do you feel that the presence of a Pre-Release Center in your community will cause you to be concerned about the security of your neighborhood?

() Greatly concerned
 () Somewhat concerned
 () A little concerned
 () Not at all concerned

14. If an adult Pre-Release Center is located in your community do you think you would limit your activities or those of your children?

	<u>NO</u>	<u>YES</u>	<u>NOT APPLICABLE</u>
A. Your activities	()	()	
B. Your children's activities	()	()	()

15. How concerned are you about the contact your child might have with the adults in the Pre-Release Center?

() Very concerned
 () Somewhat concerned
 () A little concerned
 () Not at all concerned
 () Do not have any children

16. Have any of the following areas been problematic for you in your community?

	<u>Excessive Problem</u>	<u>Moderate Problem</u>	<u>Small Problem</u>	<u>No Problem</u>
A. Noise	()	()	()	()
B. Parking	()	()	()	()
C. Traffic	()	()	()	()
D. Neighborhood Appearance	()	()	()	()
E. Property Values	()	()	()	()
F. Crime	()	()	()	()
G. Disorderly Con- duct of Youth	()	()	()	()

17. Has there been a change in law violating behavior in your community in the past year?

- () Increase
() No Change
() Decrease

In conclusion, we would appreciate it if you would provide us with the following background information. Please keep in mind that the questionnaire is completely confidential and there is no way anyone can identify you.

18. Sex

- () Male
() Female

19. Race

- () Caucasian
() Black
() Oriental
() Other

20. What is your age? _____
21. What is the highest grade that you have completed?
- 1 2 3 4 5 6 7 8 9 10 11 12
- () Some college
- () Completed an undergraduate degree
- () Some graduate school
- () Completed graduate school
22. What is your occupation?
- _____
- _____
23. What was your income level for the last year?
- () Under \$5,000 () 20,000 - 24,999
- () 5,000 - 9,999 () 25,000 - 30,000
- () 10,000 - 14,999 () over 30,000
24. What is your marital status?
- () Single
- () Separated
- () Married
- () Divorced
25. How many people live in your household at the present time?
- _____
26. What are the ages of your children at home?
- _____
27. How long have you lived in Lakeside County?
- _____
28. How long have you lived at your present address?
- _____

29. How many clubs or civic organizations do you belong to within your community? _____
30. Have you or any of your relatives worked in any phase of the criminal justice system or in any human service agency/program? (e.g., policeman, probation officer, lawyer, social worker)
- () Yes, I have
- () Yes, a relative has
- () No
31. Have you ever lived in another neighborhood where an adult Pre-Release Center existed?
- () No
- () Yes
- () Don't know