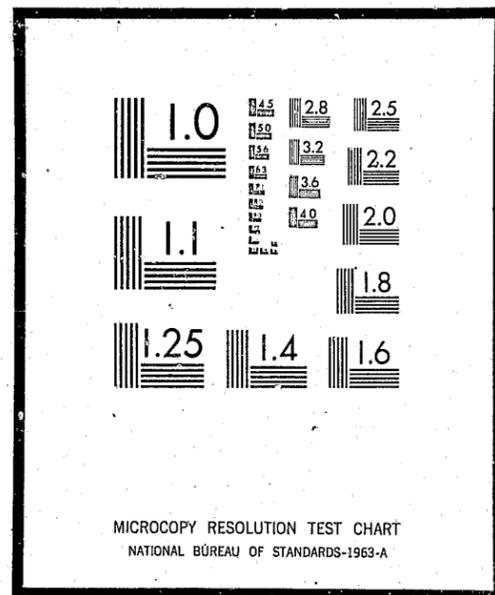


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Date filmed 11/26/75

17567

FIELD DATA COLLECTION MANUAL  
FOR  
PHASE II  
OF THE  
SURVEY OF COMMUNITY-BASED CORRECTIONS

October 25, 1973

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Prepared under DEA  
Contract No. 73-41

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## PREFACE

This field data collection manual was developed for the Survey of Community-Based Corrections conducted during the last half of 1973. A preliminary version of this manual was issued on July 26, 1973 and formed the basis for the first three programs studied in this survey. The results of the study of these initial programs have culminated in the preparation of this final version. The changes represented in this version have been tested in six further field programs so that the manual now reflects the cumulative experience of two data collection teams in nine community-based corrections programs.

The reader should be warned that the title of the survey "Community-Based Corrections" is somewhat misleading. Our concern is not with the full range of community-based corrections strategies, but rather with those strategies which are being applied to adult and juvenile drug users. The initial survey for which this manual was constructed covered twelve such programs in the following categories: Adult diversion, juvenile diversion and specialized probation, specialized probation for drug users, youth service bureaus, residential treatment, specialized employment, and drug education schools.

Two teams are in the process of collecting data on the twelve programs, using this guide as their basis. The results produced by the two teams are very comparable in nature with regard to the topics covered, the manner in which the data were acquired, and the presentation of results. This preliminary testing of the manual suggests that it provides an effective tool for structuring data collection for purposes of evaluation, ensuring comparability of independent evaluation teams, while operating at a less sophisticated and costly level than traditional evaluation research.

I. INTRODUCTION

This manual provides instructions covering all phases of the field gathering to be done in Phase II of the Survey of Community-Based Corrections project. This is a highly structured manual, designed to permit efficient, uniform data collection, not only from program to program but also between the two data collection teams. This manual is intended to serve as the basis of a well-defined, systematic evaluation strategy, which is less costly, albeit less certain, in its findings than evaluation research. It is hoped that others will find this strategy to be effective and efficient, and that further use of it will permit further comparable, standardized evaluations.

Data collection in Phase II is based on having 13 to 14 man-days in the field per program, as follows: A general data collection team consisting of two individuals will spend one week in the field for a total of 10 man-days; a specialist in management and fiscal matters will spend between two and three days in the field; and a panel member will spend one day in the field during the week that the generalist team is there, on the third or fourth day of the visit by the generalist team.

The data collection by the team, the panel member, and the management specialist is essentially broken up into nine steps as follows, each with its own man-day allocation. Table One provides a summary of these assignments.

The first step is an introductory or orientation session which is scheduled to last the first half of the opening day and should take half of the time of the A member and half of the time of the B member of the generalist team. This step focuses on the flow of clients into, through, and out of the program. The A member is especially responsible for understanding this flow.

TABLE ONE  
THE DATA COLLECTION RESPONSIBILITIES

DATE COLLECTION STEPS	The Generalist Team				The Management Analyst	Chapter
	A Member		B Member			
	Average Days	Range	Average Days	Range		
1. Orientation and flow	.5	.5	.5	.5	.5	II
2. Program Process	2	2	-	-	-	III
3. Impact - Program Records	-	-	1.5	1-2	-	IV V
4. Impact - CJS Reaction	-	-	1	1	-	VIII
5. Impact - CJS Records	-	-	1.5	1-2	-	IV VI
6. Impact - Ex-Clients	1	1	-	-	-	VII
7. Community Reaction	1	1	-	-	-	IX
8. Panel Member	.5	.5	.5	.5	-	-
9. Management Analysis	-	-	-	-	1.5-2.5	X
TOTALS	5	-	5	-	2-3	

The second step should last two man-days and involve a study of the process of serving the client conducted entirely by the A member of the team.

The third step is the first of the four steps devoted to the collection of impact data. This step is concerned with an examination of the program's own records and would also be conducted by the B member of the team and would involve one to two man-days.

The fourth data collection step, the second impact data collection step, consists of one day of interviewing criminal justice personnel, and is done by the B member. This step involves asking criminal justice system personnel for: their assessment of the impact

of the program, their overall impression of the program, and a description of the intake procedures, whereby individuals come from the criminal justice system into the program, and return back into the criminal justice system.<sup>1</sup> The concern with client flow in and out of the criminal justice system is an extension of the analysis of flow from the program's perspective, carried out in step one.

The fifth step, the third impact step, involves an examination of criminal justice system records, requires one to two man-days, and is to be handled by the B member of the team.

The sixth step, the fourth devoted to the collection of impact data, involves interviews with former clients of the program. These interviews are focused on clients who have completed the program recently. This step would be conducted by the A member and should require one man-day.

The seventh step, linked to the fourth step above, consisting of one man-day and handled by the A member, is an interviewing of community leadership in order to obtain information on the community acceptance of the program.

The eighth step consists of working with the panel member during his one day on site: half of that day the panel member would work with the A member and a half with the B member; thus, this step represents a half man-day for each. The panel member is expected to go over the information collected by the A and B members and to work with them to help fill out areas that he finds of interest.

The ninth step represents the management and fiscal analysis and would be conducted by the special analyst in this area and would consist, depending upon the complexity of the program, of between two and three man-days. This step would begin with a half day orientation period for the management analyst so that

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<sup>1</sup>If the program is part of the criminal justice system, then this activity looks at the flow of clients between the program and other parts of the criminal justice system.

he would have the same opportunity of getting to know the program people and they would have the opportunity to know him before the actual data collection begins.<sup>2</sup>

In the above assignment of work to the A and B members, the tasks are grouped in what is anticipated to be the most logical clusters, focusing the A member on program process, staff and clients; and focusing the B member on data collection from records and on the program's relationship to the criminal justice system. It is anticipated that each team may wish to switch the roles so that a single team member may be the A member in the first project and the B member in the second project, thus broadening their perspectives.

The chapters of the instruction manual are arranged so as to conform to this ordering of the steps with the orientation being discussed first, followed by discussion of the process analysis, followed by the four types of impact analysis, and then by community acceptance analysis. No chapters will address the panel participation which is to be left largely to the discretion of the panel member and should be a reflection of what he finds upon entering the program and his own assessment of his ability to dig deeper in some critical areas. The final chapter is devoted to the management and fiscal analysis. The last column in Table One identifies the chapters of the text which correspond to each step in the data collection process.

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<sup>2</sup>If the management analyst commences his work on the same day as the generalist team, they may all share the same orientation session(s).

## II. GENERAL ORIENTATION

"Credibility is:

Honesty  
Openness (as contrasted with being closed to new ideas)  
Being in touch with others (as contrasted with being fearful of others)  
Being non-judgmental  
Accepting  
Caring  
Responding  
Receiving  
Awareness  
Empathy  
Compassion  
Selflessness  
Having self-respect"<sup>3</sup>

The above quotation can serve as a guide, not only for the orientation period at each program, but for the project as a whole. In approaching a program, it will be important for you to be sensitive to how the program wants to introduce itself to you and what they want you to learn while you are there. Most likely the program staff will have some kind of structured orientation planned. Try to step into whatever structure is offered you and flow with it. Sometimes the program will have the initiative; sometimes you will. But you will always be responsible for collecting all the data so prescribed. A big task, maybe one which will require much "credibility," flexibility, and creativity on your part, but the way in which we go about collecting data will be as important as the data itself.

<sup>3</sup>ALFY Brochure (Davis, California: National Council on Crime and Delinquency (NCCD) Research Center/Bureau of Narcotics and Dangerous Drugs, 1973).

On the outside chance that the program has no orientation plans itself, the following is a general outline you could follow if you are left to your own devices.

a. Meet as many as possible of the people in the program with whom you may have further contact:

1. Director
2. Core Staff
3. Volunteers
4. Secretaries

In seeking people out, always begin with the program director and other top staff who may be present during your first day there. Be sensitive as to whether the program is organized as a strict bureaucracy or not. If the program is bureaucratic, then seek out people along bureaucratic lines starting at the top and working down. In a bureaucratic program, this observance of the organizational hierarchy will be appreciated by all. You should, of course, be democratic in your approach to everyone but at the same time be respectful of their own social relations.

If you encounter dissensions in the people you talk to, keep out of them to the maximum extent possible. Lend everyone a sympathetic ear, but do not appear to be joining one faction or another.

People will frequently ask you what you think of the program and what you see that could be improved. Beware, this could be a kind of psychological trap. Often, the questioner is attempting to get you to draw conclusions during your first day there. The minute you have made some conclusion about what is good or bad about the program, he immediately knows that you leap to conclusions without adequate foundation and can write your whole analysis off as untrustworthy. It is best to reserve judgment until you feel that you really know something about the program and until those you are talking to also share in that conviction. Even if you do have a criticism or comment to make about the program, start from the premise that the person you are talking to has already made the same observation. It is better to ask him questions and to draw the observation out of him and then to agree with him

then to try to show off how much you have observed on your own. Personnel are frequently content with you if they find that you have observed what they have observed and this is not unreasonable since they have been around looking at the problem for a much longer time.

You need not prove yourself in your meetings with the program people, that you are bright and capable of deep insights. The most important thing that we bring to each program is not our knowledge or our insights but our ignorance. Our most valuable asset is our ability to respond in a fresh and spontaneous way to the unique features of the world that we are entering and to minimize the degree to which we immediately thrust it into some well-worn category.

- b. Gather a general picture of the program.
  1. Tour the facility
  2. Get a description of the program flow

Explaining why you are there and what you want to do while you are there. Do not tell people any more than they want to know. If they ask a general question, like "What do you want to know?" give them a general answer like "What kind of people you serve and how your program operates." If they want more specific answers, they will ask more specific questions. Be frank and open, but do not force information on people.

The orientation section naturally leads to the collection of data concerning the flow of clients in the program. This understanding should be thoroughly handled in the beginning and it is the primary responsibility of the A member to ensure that a complete, coherent picture of the program flow is obtained. It may be that only the overview will be obtained during the orientation section and that further inquiries from various types of program personnel would be required to fill in all the variations and exceptions.

In its general character, program flow is concerned with how clients come to the attention of the program and are considered for intake. One

should be especially concerned with those clients that come from various parts of the criminal justice system to the program. The flow then goes on to consider the intake and screening procedures, the responsibilities on the part of the client in determining whether he will enter the program, and the responsibilities on the part of the staff in making a determination from the program's point of view.

Once the client enters the program, the flow should document his normal progress through the program. The analyst should clarify whether the program offers a single track for all clients or whether there are multiple, alternative tracks available. If there are alternative tracks, it should be noted which clients go on which tracks and how the assignment is made. The analyst should then explore how clients leave the program from the single track or from the alternative tracks. Finally, the analyst should in this and, if necessary, subsequent sessions explore the unusual variations with regard to clients who leave the program before completing it, who get into further trouble with the criminal justice system, either while in the program or after leaving it, or who are given unusual treatment for any foreseeable reason.

Should anyone offer to help with any of the phases of data collection, you may find the offer worthwhile. Consider it carefully. If it appears that the effort required to train the individual in doing the data collection or the problem of making his work uniform with yours and that of the other team is going to be difficult, explain the problem and turn the offer down. If, however, the individual appears to be someone who has the time, and can work with a minimum of direction, then you might give him a try at doing whatever he or she would like to do. If you do accept an offer such as this, make it very clear that your time is limited and that you want to be free to stop working with the individual should it prove too time-consuming on your part. If the individual is mature enough, in your estimation, to accept this eventuality without feeling rejected, then you might consider going ahead.

Be very careful if you loan him your tape

recorder. Our budget is very limited and we would have difficulty replacing broken equipment. Given all these caveats, there is a great deal to be said to encourage program participation (staff and clients both) in the evaluation process. If you have not already done so, you might wish to look at Dr. Emrich's paper on the apprenticeship model.<sup>4</sup>

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<sup>4</sup>A New Strategy for Public Policy Research  
(Davis, California: NCCD Research Center, 1971)  
mimeo.

### III. DESCRIPTION OF THE PROGRAM PROCESS

The key dimension of the evaluation is the necessity to obtain an in-depth view of the program in operation, as it deals with clients. This is accomplished by having an analyst sit in as an observer during key activities of the program. The analyst may function either as a passive observer, sitting in the background and not engaging in any of the program's activity; or he may function as a participant observer, becoming an active member of the program's activity. In general, the distinction should be left by the analyst to the program, observing in the manner which is most comfortable to the regular participants. Some kinds of activities, such as family sessions and group sessions, are by their nature more conducive to participant observation, whereas other kinds of activities, such as intake interviews and one-to-one counseling sessions, are not conducive to participant observation.

To the extent possible, the observer should follow up this opportunity to observe with all of the key participants (clients and staff) in the observed activity to obtain their personal, subjective impressions of what took place during the activity. These subjective impressions are the lifeblood of any program dealing with drug users and will be a key element in trying to ascertain the impact of the various components of a program.

An analyst/observer will begin this phase of his study by obtaining a description of all of the client-related activities of the program. Once he has thoroughly understood the activities that take place in a program, then he must work with his staff and client informants in developing some kind of assessment as to which activities are of focal importance to the program and which are of lesser importance. Where such distinctions occur, the analyst should focus his observations and interviews only on those activities of greater importance.

In some programs, there will be very few activity types and all of them will be of focal importance.

A special situation arises with regard to diversion programs, since such programs are to be studied in conjunction with one primary treatment program to which diverted clients are referred. For such cases, focal activities must be selected not only from the diversion program but also from the primary receiver of diverted clients. In this chapter, the concept of "program" is intended to signify this dual meaning for diversion programs.

Once the focal activities have been identified, the analyst must decide which activities are most worthy of study. It is probable that no more than four activities can be studied in a program, given that two days are to be spent on this phase of the analysis. In some programs, because of logistic problems, it is possible that only two such activities can be examined.

In making a selection of activities to be studied, the analyst must take into account the relative weight assigned to the different activities. For example, in a particular program, Activity A may have twice as much importance as any other type of activity. Therefore, an analyst who is planning his work in that program may decide to study two examples of Activity A and one example each of Activities B and C and to ignore other, less important types of activities that may occur. This decision would reflect the special importance given to Activity A and, to a lesser extent, to Activities B and C.

In other programs, the four activity sessions being studied may each be different in nature. It is even possible that a program has only one significant type of activity and the four sessions which are observed and studied would be devoted to four examples of that single category of activity.

The observer is to distribute his available time in a manner which reflects the range of diversity of principal activities in the program and the relative priorities assigned by staff and clients to these activities.

It may not always be possible to observe all of the key types of activities. It is more important to study the principal activities rather than the ones that are easily observed. Where observation is not possible, the observer can try to talk to some or all of the participants in an activity which he is not permitted to observe as soon after the completion of that activity as possible. This means the observer must rely solely on interviews, which is less satisfactory than participant observation, but still quite helpful. Above all, the observer must make sure he is studying what he regards as important in the program and not simply that which is most accessible to him.

In some instances, the analyst may discover that, due to problems of timing, no instance of a particularly important type of program activity is scheduled to occur during his week at the program. If the activity is of importance and if it has already occurred in the program, then it should be possible to locate clients and staff who have experienced that activity most recently. With such informants, the analyst should undertake a critical incident type interview, working with each informant separately. It may also be possible to work with the informants together in a partial or complete group; however, individual interviews should also be conducted. Of concern is the possibility that an individual feel inhibited in his response, or he may feel guided, by the presence of other co-participants in the activity being remembered.

In conducting such interviews, the analyst should continually strive to focus the informant's attention on a single specific instance of the activity being discussed. Normally, the single specific instance would be the most recent one experienced, because of the greater accuracy of the fresher memory. However, the informant may insist on talking about an earlier instance because of the deeper impressions which that instance made on his mind, or because of his belief that it is a "richer" or a "better" example of the particular type of activity. To the extent possible, if several informants who are concerned with a particular prior activity are being interviewed, the analyst should try to get them to all speak independently of the same specific instance.

However, this may not always be possible. Multiple perspectives on the same instance make it easier for the analyst to integrate the views of several different informants. Also, these multiple perspectives make this kind of critical incidents interviewing more comparable to those occasions when the analyst is an observer of the activity, in that it allows the analyst to observe an historical event through several sets of eyes and ears.

Throughout these critical incidents interviews, the analyst must try his best to keep the interviewee's attention focused on the specifics of a particular occurrence. Some interviewees, by their nature, will tend to feel more comfortable in discussing generalities, rather than the specifics of a particular occurrence. Since the participant in the activity is likely to generalize his experience in terms of his own needs and priorities, his filtering of the event may provide further distortions which could be controlled if the analyst were allowed to probe the interviewee's memory of a particular occurrence. This, of course, reflects the understanding that any event described through the memories of informants will have significant distortions regardless of how the interview is conducted.

The following are some guidelines for the observer which should be applicable in both situations, i.e., when working with a directly observable event or when working with an event which can only be addressed through interviews after the fact:

1. If a number of people are participants in a single event, such as a large group counseling session, one should attempt to interview as representative a sample of participants as possible, since it is unlikely that all the participants can be interviewed.

2. When one has been a participant observer, it is helpful to memorize or note down key moments in the conversation or in the activities and then to draw the participant's attention to these words or actions. If one uses such stimuli to focus the conversation, it is recommended that the same stimulus be used with all of the participants being interviewed from a single session.

3. Try to make the interviews of the subjects focus on a single, shared event, whenever possible. Utilize the information obtained from one participant as a stimulus for testing for similar or contrasting reactions from other participants in the same event.

4. Try to discover how the participant feels the event to be relevant to the client's drug problem.

5. Try also to obtain a sense of whether this event was regarded as of average effectiveness, or above or below average effectiveness.

6. Be very careful about using leading questions, and try to make the interview as non-directive as possible, so that the client feels free to express his own deepest personal impressions of the event.

7. Most importantly, the observer is to look to discover what the event contributed to the development of the client. This should be asked particularly in light of the objectives set, both by the program staff and by the clients, for that event. If an event failed to be effective, the clients and the staff are frequently sensitive critics as to why it failed.

8. An overriding guideline for all participant observation and all interviews conducted in an attempt to obtain a picture of the program process is the focus on the subjective experience of critical activities rather than on their objective reality. The analyst is cautioned, when he interviews a participant about an event that he himself has observed, not to force his perceptions of the event upon the interviewee. He may frequently encounter perceptions on the part of the interviewee that strongly conflict with what he believes to be "true" about the event. From his perspective, what the interviewee feels subjectively to have occurred is what is important. Program activities, for both clients and staff, have their reality in subjective experience and it is the accurate and full recounting of that experience that one is trying to obtain through these interviews.

At the conclusion of this phase of the project, the analyst should have a fairly clear idea of how

the various elements of the program contribute to improving the client's well-being and his problem of dealing with drugs. To the extent possible, the observer should be able to interpret the importance of the various program activities for the categories of clients that come into the program. Drug users range over such a broad spectrum and it is likely that any particular program component is going to deal with only a subset of the total range of clients which come into a program, which may in turn represent only a subset of the total range of clients which are to be found in the program's catchment area. It is important to understand which components are helpful to which kind of users and why.

#### IV. PROGRAM AND CRIMINAL JUSTICE RECORDS OF CLIENTS AN INTRODUCTORY STATEMENT

Before examining the client records, sit down with someone whose expertise you trust and get a thumbnail sketch of the local criminal justice process. This sketch should cover:

1. Both juvenile and adult adjudication processes
2. All steps from apprehension to parole
3. The local designations for all these steps

Keep in mind that you will be looking at program and criminal justice records partly to get some measure of client recidivism since entry into the program. For this program, recidivism will be measured, in the terminology of the California criminal justice system, by the number of indictments for adults and by the number of petitions filed on juveniles.

Not all areas that you will be visiting will have a system of criminal justice comparable in fact with the California criminal justice system, let alone comparable titles for steps in the process. Consequently, you will be looking for that step which is as closely comparable as possible to indictments or the filing of petitions. For adults, it will be that point in the adjudication process when an official or officials of the criminal justice system have decided that there is just and probable cause to believe that a felony crime has been committed and that the client may have been a party to that crime. Common terms that you may find in other criminal justice systems which may be used in place of indictment are "information," "criminal information," and "arraignment." Where you find the terms "information" and "criminal information" used by a criminal justice system, you can be fairly certain that this is the event you are

looking for. Some criminal justice systems use these two terms and the term "indictment" as well. In such systems, you may sample all three events and consider them as the same thing for your purposes. In all three instances, these should prove to be different, somewhat complementary ways of determining that sufficient information is present to bring an individual to trial and that the charge is a relatively serious one.

The term "arraignment" is more problematic, in that it is used frequently in criminal justice jurisdictions throughout the United States, but its meaning can vary considerably. For example, in New York State, it is used to describe the point at which bail is set or a person is released on his own recognizance. In the District of Columbia, an arraignment can be a substitute for an indictment, but it can also have the meaning that it has in New York State. In Illinois, for example, an arraignment never means the bail setting hearing and always means something that is like an indictment. In some states it is optional whether an individual has to go before a grand jury and an indictment is used to label a charge handed down by a grand jury, whereas an "information" is used as a comparable charge that is arrived at without going through a grand jury.

Be especially cautious about assuming that the term "arraignment" is a good substitute for "indictment."

For juveniles, it will be that point in the adjudication process when an official or officials of the criminal justice system have decided that the juvenile might be of danger to the society and/or that he might benefit from "treatment." The consequence of these decisions, respectively, is then that the adult is required to go to trial or plead guilty; or an adjudicatory hearing is set for the juvenile.

The foregoing are the particular steps from which recidivism will be measured. It will be those events that you will be seeking in the client records to measure program impact. Because of the expected variation in the criminal justice process from program to program, once you have your

thumbnail sketch of that process, make sure you get that sketch into your notes. You might even record that conversation in which you get your information if that is convenient and feasible.

While you are getting information on the local criminal justice process, you might also try to find out from your "expert" what and where the most complete and accessible criminal justice records are of the steps in that process you want to study.

## V. LOOKING AT PROGRAM RECORDS OF CLIENTS

### A. General Considerations

In approaching this task, the observer is asked to conceive of program records very broadly. To the extent possible, we would like to utilize statistical compilations that have already been prepared by the program covering all phases of its operations and, especially covering its effectiveness and impact. Where such compilations exist, it is incumbent upon the observer to do whatever he can to ascertain the reliability, validity, and accuracy of these records.

Where relevant records exist, particularly statistical summaries regarding effectiveness and impact, the observer may choose to attempt several brief, carefully selected audit trails, in order to make an on-the-spot verification of the records. If the records that exist and the statistical summaries that have been prepared from them appear to be highly germane to our interests in evaluating the program, the observer would do better to attempt a testing of these records rather than trying to collect new data and develop new statistical estimates on his own.

The remainder of this chapter will focus on instructing the observer in ways which he may sample the records, assuming that they appear to have useful data, so as to create his own statistical estimates, assuming that appropriate estimates have not been made by the program. In reading through this chapter, and in examining how to proceed in collecting this kind of data, one also will find an implicit guide as to what they are looking for from the records and the particular kinds of statistical summaries which we regard as important. In other words, if one can directly obtain the kind of statistical summaries which are being developed through these procedures, then the existing statistical summaries will serve as a substitute,

assuming reasonable assurances of accuracy, validity, and reliability.

It is very likely that, in some programs, the observer will find part of the data that we are seeking in the form of existing summaries and part of the data to be collected for the purposes of our making our own estimates of the missing statistics. With all of this in mind, it is important that the observer fully understands the state of the records and the statistics that have already been drawn from them before developing a course of action for a particular program. In general, it may be that the observer could obtain this overall view of the records some time during his first day at the program, so that he would have a little time to cogitate and prepare his plan of attack before the day he actually sets aside to work on this aspect of the data collection.

As we approach the records in order to collect data, our first task is to assess the quality of the record system. We can assess the quality of the records at the same time as we are extracting information from them. One man-day is allotted for a summary review of program records.

There is no printed form on which to write an assessment of the record; it is an ideal task for narration into the tape recorder at the end of the day. The following is a study guide to help you organize and report your record assessment. It need not be limited to the outlined areas but should include them.

### B. Assessing the Quality of the Record System

1. Summary description of the client record system:
  - a. On whom and of what do they keep records?
  - b. Why do they keep records of this sort?
  - c. Who is responsible for filling out the records?
  - d. How up-to-date are the records kept?
  - e. Are the records protected and confidential?
  - f. What form are the records in--card file, file cabinet, rolodex, etc.?

- g. What are the filing methods--  
central office, individual  
offices, etc.?

2. Accuracy and reliability of the records:

- a. Do all the client records generally have the same kinds of data in them?
- b. What trust do program personnel put in the accuracy of their records?
- c. If it is possible to cross-reference dates and events within a given record, are they consistent?
- d. Do the records appear to provide a complete coverage of all of the clients who should be covered by the record system rules, and do the records appear to offer complete information on the clients covered, in a manner that is consistent from one client to another?

3. Ease with which information can be extracted from the files:

- a. How easy is it to locate a particular case?
- b. How well organized and clearly labelled are the data within a particular record--is it easy to pinpoint information in the records?

In addition to narrating notes on the quality of the records, it will be important to dictate the exact procedure used in sampling cases from the records. The report of this procedure should cover the three major areas outlined below in the instructions and guidelines for drawing a sample of cases from the client records.

C. Drawing a Sample of Cases from the Client Records

1. Find out from program staff how up-to-date the records are kept. The time period from which you will draw your sample will be one year preceding the date of the most recently recorded data. For example, if there is a time lapse of one month in recording data and the present date is August 6, then the sample time period will be from July 6,

1972, to July 6, 1973. Only clients who entered the program within the sample time period will be eligible to be in the sample of cases drawn from the records.

2. Estimate (or if possible determine exactly) the total number of clients who entered the program in the sample time period. The number of cases to be sampled is 50% of the total number of clients to enter the program or 25 cases, whichever is the lesser number. If the intake for the twelve months of the sample time period was 40 cases, then you would select 50%, or 20 cases, for your sample. If the intake was 60 cases, then you would select 25 for your sample. For the purposes of sampling, intake should be defined in the program's own terms. In some programs the client has to participate in the program for a month before he is judged as becoming part of the program, whereas, in other programs, the client is judged as part of the program if he spends one day involved in the program activities. Whatever definition of intake is used by the program, make sure that it is used consistently, and clearly stated in your notes.

3. The procedure by which the sample is actually drawn will depend on how the program organizes its records. Hopefully, every program will have a card file, entry log, or some quick index of all its clients in which time of entry into the program is noted and thus eligibility for sampling can be assessed. It may or may not be possible to isolate just those cases entering in the sample time period from all other clients.

a. If it is possible to identify and isolate the clients who entered during the sample time period from all other clients,

(1) And the total number of cases entering in that time period is 50 or less, then the easiest random selection of a 50% sample would be to pick every other case as it is ordered in the file.

(2) If the total number of cases entering in that time period is 51 or more, then the easiest random selection of a sample of 25 cases would be as follows. Divide the total number of cases by 25. The result rounded to its lowest whole number is

the "i"th of cases to select. By this method, if there were:

- 51- 74 total cases select every other case until you have a sample of 25
- 75- 99 total cases select every 3rd case
- 100-124 total cases select every 4th case
- 125-150 total cases select every 5th case
- 151-174 total cases select every 6th case
- 175-199 total cases select every 7th case and so on.

b. If it is not possible to identify and isolate the clients who entered in the year of the time sample from those entering at any other time,

(1) Most likely the cases will be filed alphabetically by last name. Select one eligible case from each letter group (first letter of last name) represented in the file until you generate 25 cases or 50% of the total estimated to have entered during the sample time period, whichever is less. Remember, an eligible case is one entering the program during the sample time period. Begin at the front of each letter group and thumb through to the first eligible case. That will be your one sample case from that letter group. If, however, you go through the entire alphabet without generating enough cases for the sample, then select additional eligible cases from letter groups with the largest number of cases, selecting one additional case from each letter group. It is conceivable, when the file from which you are selecting is quite small, that you may have to proceed in this manner and rotate through the largest letter categories even three or four times before the entire sample is selected.

(2) If the quick index is not organized alphabetically as a whole, but by some other method, such as those currently in the program versus those terminated, then you will have to be creative in your sampling procedure. The sample drawn should not be biased in favor either of those current or terminated clients, those treated intramurally versus those treated extramurally, or of other possible groupings. We want a random sample of

cases entering the program within the sample time period, regardless of all other possible ways of grouping the cases within that definition. If the records are grouped on some basis, you may have to prorate the number of cases you select from a particular group in proportion to the percentage that it represents of the sample population, that is, drawing a stratified sample in order to ensure that it is representative of the program. For example, if the program has 250 clients enter in a 12 month time period, their records are grouped by those clients currently in the program versus those terminated, and there are 50 clients presently in the program. You want to draw a sample of 25 cases. Fifty is one-fifth of 250, so you could draw one-fifth of 25, or 5 cases, from the current caseload and four-fifths, or 20 cases, from the terminated cases. While not all 50 of the current cases may necessarily have entered the program during the sample time period, and thus all are not eligible cases, such a calculation provides a good approximation when more exact procedures are not possible.

#### D. Collecting the Data

The form and extent of records on clients will vary greatly from program to program. Consequently, the data analysts will have to be flexible in their approach to the data. There are generally four kinds of data we want to know about the programs from their client records:

- Client characteristics at intake
- Past criminal or delinquent history
- What services the program provides the client
- General follow-up data on the client's behavior after entry into the program and up to and beyond termination from the program when it is available

We do not know in advance how extensive any one program's records will be in any of these four areas. Consequently, you are provided with a Program Record Sheet with the four types of information desired outlined on the sheet, and a Data Category Overlay.



## 1. Program Record Sheet

At the top of the Program Record Sheet is space in which to designate:

- a. Date of data collection
- b. The initials of the data analyst
- c. The client code: the identification number assigned to the client by the program
- d. Agency code: a letter code assigned by our staff to designate a particular program
- e. Date of entry: the date that the client entered the program
- f. Date of termination: the date the client terminated or left the program.

At the bottom of the Program Record Sheet, below the dotted line, is space in which to fill in the name of the client. These names will only be used to search out follow-up data in criminal justice records. Once we are finished using them for this purpose, the names will be cut off and destroyed. From that point on, records pertaining to a particular client will be identified only by the client and agency codes.

It is important that the agency personnel and especially the agency director is fully apprised of our own procedures with regard to confidentiality. Make sure to explain that we record the name of the client on the Program Record Sheet just as an expedient so that we can obtain comparable records from the criminal justice system. Once all the records have been obtained and identified by numerical identifiers so that the same client code will be on all the records pertaining to a particular client, then the main portion of the record sheet will be cut off at the dotted line and destroyed. You may not be asked for such assurances but it is important to provide them anyway since almost all programs are concerned about confidentiality.

## 2. Data Category Overlay

Having glanced through the records to determine the categories of information that are contained therein, write in these categories on the Data Category Overlay under the appropriate data headings. Then use the Data Category Overlay for each case sampled by laying it over the Program Record Sheet in the appropriate place and locking the two sheets together in a sheet protector on your clipboard. That way you avoid having to fill in the data categories over and over for each sample case. Be careful to place your Program Record Sheet accurately under the Data Category Overlay so as to ensure that the same item of information falls on the same line for every record for a particular program. Do not worry about trying to make a correspondence between the data category overlay from one program to another, but rather set up the Data Category Overlay in a sequence which best suits the way the information is arranged on the program records.

3. The following is a list of the types of data categories which you might find represented in program records:

### a. Client Characteristics

- (1) Birthdate/Sex/Race - always fill in these when possible
- (2) Annual income at time of admission to program
- (3) Area of residence (e.g., city, zip code)
- (4) Years of schooling
- (5) Behavior in school (juveniles only)
- (6) School performance (juveniles only)
- (7) Employment record (adults and juveniles with full time jobs only)
- (8) Living arrangements--with natural parents, foster parents, spouse, etc.
- (9) Marital status
- (10) Diagnosed physical or mental problems

- (11) Prior non-criminal justice programs participated in and evaluations of the client by those programs
- b. Pre-Program Criminal (Delinquent) History--including event dates
  - (1) Prior arrests, indictments, or convictions (adult)
  - (2) Petitions filed or sustained (juvenile)
  - (3) Age at first arrest
  - (4) Prior criminal justice programs participated in and evaluations of the client by those programs.
- c. Program Services to Client (including time period of service)
  - (1) Personal, family, or group counseling
  - (2) Vocational counseling
  - (3) Remedial education
  - (4) Drug education
  - (5) Vocational training
  - (6) Recreational program
  - (7) "Big Brother" program
- d. General Follow-up Data (including event dates) Since Client Entered Program Up to and Beyond Termination
  - (1) Program evaluation of client at termination--if client has terminated and this is available always fill it in.
    - (a) Reasons for termination--normal expiration, failed to comply with program requirements, etc.
    - (b) Assessment at termination
  - (2) Employment record (during and post program)
  - (3) School record (during and post program)

- (4) Arrests, indictments, or convictions (adult)
- (5) Petitions filed or sustained (juvenile)
- (6) Truancy reports

There could be endless quantities of data collected for each client in those programs that keep very extensive records. We do not have the resources for extensive data analysis. We, therefore, insist that the observer collect no more data than can be displayed on one single data collection sheet. This will frequently mean careful discrimination on the part of the observer concerning what to collect and what not to collect. In making this selection of data to be collected, keep in mind such criteria as accuracy and validity, consistency with which a particular item is reported for client-to-client, and relevance for the four basic purposes for which data is being collected as listed under Chapter V, D above.

## VI. LOOKING AT CRIMINAL JUSTICE RECORDS

### A. General Considerations

At this point our narrative description of our data collection procedures falls out of sequence of the list of types of data collection given in Chapter V. Now, we should discuss a second type of evaluation of impact data, namely, the collection of interview data for criminal justice personnel concerning their observations on the effectiveness of the program. We have broken the sequence for two reasons, i.e., because it provides a clearer flow if the two types of record collecting data follow each other in sequence, and also because the interview data concerning the effectiveness of the program can be conceptually joined with the interview data concerning criminal acceptance. This latter point is particularly sound because, in almost every instance, the observer would address both issues in a single interview. The discussion of how to conduct this form of interview is presented in Chapter VII, which follows this chapter.

The sample of clients on whom information is obtained in the program records is also the sample on whom recidivism information will be sought in the criminal justice records. This will require that the sampling of clients with regard to program records should be done on the first or second day of the field collection week. Three man-days will be available in which to search these records. This does not imply that the observer will be collecting data on 25 or fewer clients for the entire three days. It may take two days or even as little as one day to do the actual collection.

Except for extremely small jurisdictions, the arrangements required to establish the data collection are likely to be quite complicated. These early arrangements require careful identification of the best source or sources from which data on indictments or indictment-like actions and on

juvenile court petitions filed are obtained. This also involves obtaining the necessary permission from judges, district attorneys, and other officials to collect the data, and making the necessary logistical arrangements for accessing the files with minimum interference on ongoing agency procedures.

In engaging in all of these preliminaries, it is important that the observer not act under time pressures and not attempt to rush the personnel with whom he is dealing. The court systems of this country frequently are a strange paradox of very rapid processing of a high volume of cases and a kind of studied leisure existing side by side. It is most important, when approaching the courts, to sense the existing atmosphere and to pay tribute to whatever degree of decorum one finds.

Criminal Justice Record Sheets are provided on which to record the recidivism information. With regard to searching for appropriate record sources, every jurisdiction and every court will present unique features. Normally, data on indictments and indictment-like actions are likely to be filed both by the District Attorney and by the court. In both instances, the data are filed on a county-wide basis, which is some help.

In trying to get access to records, be sure to start with the highest possible official that you can gain access to and work down, because one almost invariably will run into a fairly rigid bureaucracy. In large jurisdictions, the clerk of the court is an elected official and has considerable power on his own and should not be approached as though he were inferior in standing to a judge. In some jurisdictions you will find that a number of different kinds of courts, or a number of different courts, are doing essentially the same job. This is likely to be true of the larger jurisdiction.

In Philadelphia there was at one time nine separate courts which had identical functioning and for a long time there was no common filing system for these courts. Hopefully this situation has now changed.



In Chicago, on the other hand, there were a number of different courts that supposedly treated different types of criminals; however, there was much overlapping in their jurisdiction. In a case like Chicago, one would have to focus on the records of the particular court that handled the vast majority of the cases and simply ignore the lesser courts. If one is forced into that kind of compromise, try to note the fact that some potentially applicable records have not been examined, identifying what those records are and stating clearly why they have been overlooked.

In all instances, you will find the state and the federal governments have overlapping jurisdiction. The vast majority of criminal activities are prosecuted by the state and the activities of the federal government are sufficiently negligible that they can be totally ignored. In no instance should the observer make any attempt to obtain any kind of federal records. You may find yourself confronted with a situation in which there is a rich and a lean source of records in parallel. For example, there may be a log in which the individual is given a one line entry of some 20 items or so, and then there may be a jacket in which the full criminal history is recorded. You may have to content yourself with the log since access to the jacket may not be permitted by agency regulations or state law. Most jurisdictions have a clear distinction as to what is available as public record and what is considered confidential. Although we may request as a privilege to have access to confidential records and may fully explain our provisions regarding confidentiality and protection of identity, we have no rights to gain access to these records and must not push our request too strongly.

With regard to juveniles, the situation is at one and the same time simpler and more complex. It is simpler in a way in that there are usually fewer agencies to deal with, namely only a single juvenile or family court and a single juvenile probation department (although in smaller counties there may be one probation department for both adults and juveniles).

The situation is more complicated in that the

regulations and laws protecting the identity of juveniles are generally treated much more stringently and are almost never in any sense a matter of public record, as contrasted to adult records. A great deal more decorum and diplomatic skill may be required to obtain access to juvenile records.

In general, in the juvenile situation the senior juvenile court judge has power over the court and the probation department and if he is likely to be amenable, he is probably a good place to start. However, if the judge does not appear to be amenable to such an approach, the senior probation officer or senior juvenile probation officer probably has considerable authority of his own and would be a good place to start.

For both adults and juveniles, it is recommended that you obtain as much prior information about the key persons in advance as possible, so that you tend to begin contacting those who are most likely to be favorable to your requests. If you find that you are forced to contact someone whose prior recommendations indicate he might not be favorable, do not take these prior comments too seriously, but always make your approach from a positive and self-confident point of view.

The most complicated situation will arise either when you have a mixture of adults and juveniles in a situation requiring you to go to both parts of the criminal justice system or when you have persons in the population ranging between the ages of 16 and 21. This latter category is confusing, because most states allow the courts and the prosecutor options concerning whether to treat an individual in this borderline age range as an adult or as a juvenile. It would be good early on to obtain a clear picture of how these borderline individuals are treated before laying out your strategy of trying to find them in the records.

Having discovered the best single source for obtaining this information, transfer the names, client codes, and dates of entry of the program client sample onto the Criminal Justice Record Sheet.

B. Setting Up the Criminal Justice Record Sheet

At the top of the sheet space is available to fill in the following information:

1. Agency Code: a letter code assigned by our staff to designate a particular program.
2. Date of Data Collection
3. The initials of the data analyst
4. Record Source: the source from which the criminal justice records were obtained, e.g., the office of the District Attorney of Los Angeles County.
5. Explication of "OTHER": if the step at which the recidivism is measured is not called an indictment or information, then the title and meaning of that step. Where juveniles are concerned, "OTHER" will most likely be petition filed. Note that the form has been set up primarily from an adult point of view but can be revised when collecting data on juveniles.
6. On every other line of the sheet, fill in the name, code and date of entry of one of the sample cases. (In alphabetical order might be helpful.) It is not expected that more than two actions will have occurred since the client entered the program, so filling in names on every other line should leave adequate space for the required information. After all the data are gathered, the client names may be cut off and destroyed.

C. Categories of Recidivism Information

The following are the categories of information that are required on any recidivism event found in the criminal justice record for a particular client. Leaving this information blank will indicate that no record was found of a recidivism event.

1. Arrest Charge: The offense(s) charged at the time of booking or the allegations made at time of referral to the juvenile officer.

a. Code: Most criminal justice records will refer to the offense(s) by a state or local code number; put that code number here. You may also find instead of a legal code, that the offense is described by some abbreviation. Do not assume that you can understand the abbreviation but check it out as you would a code number with an expert so that you can obtain the correct common name.

b. Common Name: After you have collected all the data, find an expert to give you the common name of the offense codes listed.

2. Indictment/Information Charge: The offense(s) charged in the Indictment, Information, or "OTHER," e.g., petition.

a. Code: See Arrest Charge, Code.

b. Common Name: See Arrest Charge, Common Name.

3. Date of Indictment/Information: The date the indictment or information occurred, petition was filed, etc.

4. Check One, Indictment/Information/Other: Indicate by a check mark the local name of the event used to measure recidivism.

## VII. INTERVIEWING FORMER CLIENTS

If it is at all possible, the analyst should attempt to secure face-to-face interviews with one or more former clients. In the time allotted, it seems as though a maximum of four or five such interviews could be conducted. In some programs, former clients regularly return to the program, providing a convenient source of such interviews. In other programs, some kind of searching out of former clients would be required.

In selecting former clients, if at all possible, one should try to take individuals randomly from the program files. Individuals sampled in the survey of program records, described in Chapter V, would be a natural source of recent former clients.

Although telephone interviews are better than nothing, the observer is strongly encouraged to seek out former clients for face-to-face interviews. Sensitive questions have to be asked and it is never possible to obtain as high a degree of trust and empathy in a telephone interview as in a direct interview.

In interviewing the former client, the observer should focus on the following topics of interest:

1. How well is the client functioning currently, allowing for his age and general social setting?

2. What is the former client's general impression of the program?

3. How does the client feel the program helped him the most, and to what degree?

4. What did the client find most disturbing throughout the program?

5. How has the program affected the client's pattern of drug use?

6. Does the client continue to use drugs now and was he using them when he left the program?

7. Has the client had any experiences with programs prior to or after the subject program? If so, describe.

8. What suggestions does the client make for improving the quality of the program?

## VIII. INFORMAL EVALUATIONS BY CRIMINAL JUSTICE PERSONNEL AND THE LEVEL OF COMMUNITY ACCEPTANCE

### A. Selecting Interviewees

Chapter VIII discusses data collection step four, as described in Chapter I. One man-day is allotted for seeking informal evaluations of the program from criminal justice personnel, allowing for the interviewing of three to six people. Interviews would normally last no longer than one hour--although an occasional one lasting up to two hours is possible--and may be shorter according to the thoroughness of the discussion.

In selecting potential interviewees, a special effort should be made to assure that they have some real knowledge of the program and are not just commenting from gossip or vague knowledge. Hunting for potential interviewees can begin with soliciting suggestions from program personnel concerning persons who are knowledgeable of the program within the criminal justice system and within the community. The data analysts should also make an independent effort to find knowledgeable persons to interview and thus guard against complete bias in favor of the program in the sampling of opinion.

Possible contacts among the criminal justice personnel will vary with the kind of program it is and what direct interaction it may have with such personnel. The range might include the cop-on-the-beat, a police supervisor, a judge, a prosecutor, a probation officer, or a criminal lawyer, and it will be up to the data analysts to ferret out the most appropriate persons.

In selecting persons from the criminal justice system, special consideration arises with regard to four of the categories of programs, that is, all types of programs except specialized probation

and diversion programs.<sup>5</sup> For these four categories of programs, we are most concerned in finding out the process by which individuals move from the criminal justice system into the program in question. Therefore, it is important that one or two of the criminal justice system interviewees be selected from those individuals who have cognizance over this aspect of the program intake processing, namely, these are individuals who have control over the clients within the criminal justice system, prior to their entering the program being studied. We are anxious to study in these interviews the nature of this transfer process from some segment of the criminal justice system into the subject program.

In addition to obtaining information on the flow of individuals from the criminal justice system to non-criminal justice programs, there are other similar kinds of client flow information which are also to be gathered:

- (1) For the three categories of survey programs which are part of the criminal justice system--diversion programs, diversion programs coupled with specialized probation programs for juveniles, and specialized probation programs--an analagous concern is the flow of individuals from other criminal justice agencies into the criminal justice program of interest.
- (2) For all types of programs, there is an interest to study any flow which might exist out of the program into a criminal justice agency other than the program.
- (3) A third element of flow is a concern with what happens to the client who is picked up by a criminal justice

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<sup>5</sup>The four survey categories which are normally outside of the criminal justice system are: youth service bureaus, specialized employment programs, residential treatment facilities, and drug education schools.

agency other than the program in terms of his continuing relation with that agency. In summary, one is looking for all the possible variations of flow between the program and the elements of the criminal justice system.

Because we are interested in obtaining information on the criminal justice system's view of the effectiveness of the program in handling the clients sent to it, it would be important to select interviewees who have been personally responsible for clients engaged in the program. Such individuals are more likely to be aware of the outcome experienced by individual clients, and are therefore more likely to have a clearer impression concerning the impact of the program on its clients.

It is important for the data analysts to be flexible about their interview plans. If, in talking to someone generally favorable toward the program, mention is made of someone quite unfavorable, or vice versa, it may be appropriate to contact the person mentioned for an interview. In fact, soliciting suggestions from persons initially contacted may be a very good way of generating a list of possible pros and cons to interview.

#### B. Guidelines for the Interviews

Before beginning an interview, be perfectly clear what your three objectives are: (1) to obtain information on the flow of clients between the program and the criminal justice system, (2) to obtain the impressions held by the interviewee concerning the impact that the program was having on those clients which came to it from the criminal justice system, and (3) to obtain the interviewee's overall evaluation of the program.

When contacting potential interviewees and soliciting their cooperation, you will have already sought assurance from them that they have some real knowledge of the program. This, then, would be a good point to start from in the interviews, that is, the nature of their knowledge of the program and whence it sprang. Along with this you can inquire into their perceptions of what the program

actually does, services offered, etc. This will be information useful both in weighting the opinion of that person and in assessing how well the program has communicated itself to the outside world.

When interviewing persons with very strong feelings about the program, pro or con, it will be important to try to establish the source of the intensity, whether from personal fears or prejudices or vested interests, etc. Along this same line, it may be useful to inquire as to what that individual's perception is of how "others" see the program, including what types of people these "others" are.

#### C. Content of the Interviews

Following are some suggestions of possible lines of inquiry to take during the interviews. If you feel that it would not constrict the flow of information and the interviewee agrees, you could tape the interview. But probably the best method would be to just jot a few notes during the interview and to sit down as soon as possible afterwards to dictate your report.

1. The program's legal status--any complaints, charges concerning negligence, funds, etc.
2. Legal action taken against the program or contemplated.
3. Issues concerning the rights, privileges of the clients.
4. Estimated involvement of clients in crime, etc. (affects opinion concerning program effectiveness).
5. In terms of criminal rehabilitation, how successful is the program?
6. What are other perceived alternatives to this program, their desirability in comparison to this program, etc. (prison, other community-based programs, etc.).
7. (For all categories of programs except diversion programs) To the extent that the interviewee has clear knowledge of the issue, obtain

from him a full description of how individuals are transferred out of the criminal justice system into the program. If the program is itself located in a probation department or some other agency of the criminal justice system, the question represents a transfer from some other area in the criminal justice or some other status which the client held prior to becoming a client of this particular program. We want to thoroughly understand this transfer process, as it would become part of whatever model we were to generate in our study. If the transfer process can occur in a number of ways, and can come from several different points in the criminal justice system, attempt through these interviews to obtain information concerning how this transfer works from all relevant points. Also, attempt to obtain some kind of data on how many of the entrants to the program come in from these different points in the criminal justice system.

Try to ascertain from the interviewee's perspective whether this transfer process whereby clients enter the program from the criminal justice system is novel to this program, a recent innovation in time but shared by several programs, or is regarded as traditional criminal justice activity for this jurisdiction. Where some kind of novelty or recent innovation is involved, make sure you are very clear as to the nature of the novelty or innovation. It will be particularly interesting, when one is interviewing an individual who has information on the intake process, to obtain his judgment as to whether he thinks that the use of this program by the criminal justice system has been beneficial or not. Ask why.

8. Obtain information on all the other kinds of interactions between elements of the criminal justice system and the program. For example, does the criminal justice system maintain a surveillance of the client or a reporting relationship with the client which lies outside of the immediate program staff? Under what circumstances might a client move from the program to some other element of the criminal justice system? What are the consequences for the client and his relationship to the program if he is arrested while participating in the program? What role does the program and its staff

play in the criminal justice proceedings associated with a subsequent arrest?

9. If the interviewee is personally aware of any clients who have entered the program, obtain information concerning his views as to how the program affected these clients. Does the interviewee, based on his knowledge of specific clients, feel that certain categories of clients are better served by the program and other categories of clients are less well served?

## IX. COMMUNITY RESPONSE TO THE PROGRAM

Much of the task of the observer in this data collection step is very parallel to that described in the previous chapter, with regard to interviewing criminal justice personnel. The task, however, is much more restricted in scope, in that these interviews are only concerned with a general reaction to the program and are not concerned with gathering information on client flow and impact on clients. This chapter will not repeat much of what has been said in the previous chapter and the two must be taken together to give a full picture of this data collection step.

As described above, knowledgeable interviewees should be selected in part from people known by program participants and in part from other sources in order to obtain a balance of opinions. Depending upon the kind and nature of the program, the following are some of the possible sources of individuals who may be able to give a community reaction:

1. Members of the city or county government.
2. Members of the school system and the school administration.
3. Ministers, priests, or rabbis.
4. Newspaper reporters.
5. Youth leaders.
6. Members of service agencies to youth, such as the YMCA and the Boy and Girl Scouts.
7. Personnel associated with other agencies dealing with the drug problem.
8. Personnel associated with public and private welfare agencies.

9. Doctors and psychologists.

10. Citizen agencies concerned with the criminal justice system, such as citizen crime commissions.

In order to ascertain community opinion, the following questions could be asked (inquire of criminal justice people also):

1. How supportive of this program has the community been? Has this support increased or decreased with time? Were there any specific incidents that intensely affected public opinion?
2. How good is the program as a public relations agent for itself?
3. Knowledge of program's objectives, personnel, clients, etc.
4. What does he feel that the program should be accomplishing for its clients and how successful is the program in terms of his expectations?
5. Opinions on alternatives to this treatment--harsher or more liberal?
6. How involved is the community in general with social problem solving--active, passive?
7. Should this program be community supported and funded?

## X. MANAGEMENT ANALYSIS

### A. Outline

1. Form relationship with director, accountant, and all hired full time personnel.
  - a) Ascertain duties and responsibilities
  - b) Evaluate efficiency of business methods
  - c) Changes contemplated
2. Review governing papers and documents.
  - a) Discuss areas that are unclear with administrators
  - b) Discuss bylaws, resolutions, charter and directors meetings
  - c) Review minutes of meetings
3. Review funding with accountant and director.
  - a) Discuss any requirements or stipulations
  - b) Note cut-off dates; other available funds, etc.
  - c) Problems
4. Review how programs are drafted, resolutions passed and recommended.
  - a) Discuss implementation of programs
  - b) Methods of amendments
5. Review how clients are accepted and how it relates to bylaws of agency.
  - a) Review changes made since inception, and why

### 6. Review financial structure.

- a) Tax returns
- b) Financial statements
- c) Banks and lending institutions
- d) Investments and assets

### 7. Review budgets in relation to program.

- a) Is it soundly based?
- b) Does it utilize facilities, services and goods to best advantage?
- c) Do accountant and director assist in management planning?

### 8. Review accounting system.

- a) Are there clearly defined rules of authority and responsibility?
- b) Is system adequate?
- c) Are records and reports set up to keep track of costs and accomplishments?
- d) Does accountant understand the agency and is he alert to changes?

### 9. Review leadership and management and accounting.

- a) Motivation
- b) Client and employee morale
- c) Ability to work separately and as a unit

### 10. Discuss and note problem areas.

- a) Vanishing funds
- b) Strict, unwavering rules
- c) Loss of communication
- d) Conflicts of interest
- e) Personality problems
- f) Administration faults

## B. Discussion

The following procedure relating to management and fiscal analysis should be prefaced by a brief explanation. The collection of any and all administrative data is looked upon by all agencies with a degree of suspicion. Questions such as: "Is someone going to be replaced?"; "Has someone blown the whistle on us?"; "Is something happening with our internal accounts that is questionable?"; "Will our funds be cut off if this information is not accurate with our budget requests?"; "Will it show discrepancies in allocation of funds?"; "If it is unfavorable, will it discredit the entire program?"; etc. At best, this part of any evaluation procedure is distasteful for any agency because there is no such thing as a perfect situation. Programs have one or two "ghosts" in their closet that they view constantly as their Waterloo as far as obtaining federal funding or being considered as a local or community necessity is concerned.

This is mentioned to give the reader an idea of the difficulties one faces in trying to obtain pertinent fiscal information. One reacts the same way when he receives a notice that the IRS wants to audit his tax return.

The methodology following, then, must be taken as the way fiscal and management information should be approached. Each instance will necessarily be different and times will vary and titles will change, only the results should be constant.

It is assumed that the general data collection team and the panel member have visited the site, evaluated the program and have left a favorable atmosphere for the business analyst to enter.

1. The procedure of meeting the program director, executive director, accountant, book-keeper, administrative personnel, and some board members is of primary importance. It is imperative that these individuals have a feeling of trust and assurance that the business analyst is there to look at their methods. He will not criticize nor condemn the agency. He is not there to audit the books nor look for discrepancies. He is not there

to propose administrative changes or point out an accusing finger at obvious shortcomings. And, perhaps most important, his findings will be reviewed by the agency and program prior to being used or distributed in any form.

In this way, the analyst tends to relieve many of the tensions that have preceded this mission and should, if skillfully and honestly and unhurriedly presented, gain immediate approval of all concerned.

It must constantly be in the mind of the analyst, though necessarily held in abeyance, that if all his efforts in gaining access to records and finding information and budgets are defeated, he must not be outwardly depressed or hostile in any way. He must then gather information from other channels and note their relevancy (i.e., talks and discussions with administrative people-- accountants, local funding agencies, etc.).

The analyst then makes a list of the management team, the individual duties and responsibilities of each, and overlapping authority. This evaluation, when completed, will show the efficiency of each title in relation to his designated duties. If there has been a recent change in an office, the analyst must ask how it has affected the administrative ability of the program and what the apparent results are compared to reasons for change.

2. After studying and/or discussing the legal reason for its existence, the analyst discusses various aspects of the charter with available administrators. This is done to ascertain if the agency adheres strictly to its bylaws, if it is flexible in special cases, and how much faith and authority are given to the director, accountant, etc. One must be able to understand if a director is limited in implementing programs, hiring staff, deviating from budget, etc.

3. The heart of any program or legal entity is its funds. To some it is a constant source of apprehension and gnawing threat, and to others it affords not even a second thought. The analyst, in any case, must be alert to any effect funding has on a program or has had. Are they forced to

cut staff to meet budgets? Is the community applying pressure to cut off funds? Is there internal dissension due to lack of staff, materials, or inadequate facilities? Is there conflict over how funds should be used?

This subject of grants is one that requires tact and subtlety. The analyst must refrain from making suggestions or forced speculation. He is simply there to collect data and report procedures, not admonish or censure.

4-5. The analyst must discuss with the program director how and why certain programs were implemented and if he, the director, agrees. Does he approve of the method by which clients are chosen and the manner of treatment or diversion? Does he agree with the length of time each stays and does he make exceptions? Does he and the staff approve of the way clients are accepted or diverted and would he suggest changes? Even though this may seem to backtrack into Team I and II territory, it will provide a basis for the analyst to study the accountants' and board members' reactions to the same questions.

6. In reviewing financial documents and tax returns, one gets a feeling for the agency and its backers and its future. The analyst gets a feel of the concern of those involved with the program. If they have few records that are ill-kept and funds disbursed in an haphazard manner, it reflects on the total program.

7. The analyst, in reviewing operating and proposed budgets, sees the true depth of the program. The budget tells everything: where emphasis is placed on the program importance list; what its true objective is (not what is told at meetings); what the program truly does for its participants. The budget will tell who runs the agency and what gain is expected. The budget will tell what success the management has had and how accurate their proposals were; whether budgets were based on proven objectives or merely want of funds for proposed programs or to offset a deficit. Again, the analyst must show quick judgment, insight and prudence in evaluating a budget. He must be taciturn in all situations.

8. The method used in accounting will show the concern of the program in controlling its funds: Find out who is responsible for dispersing money and the methods used; do they have a petty cash fund and are records kept for small amounts paid out? Is the accountant a paid employee of the agency, available at all times, or is he donating his services periodically to the organization? Who developed their system of accounting and does it tell them what they need to know? Can they change their reporting methods to meet their need? Does the system relate to their program accomplishments and, if not, find out how the information was obtained and tied into their tabulated figures. The analyst will find out whether the accountant truly relates what he is doing to the program and is eager to develop the program's objectives in his accounting procedures.

9-10. This phase of the evaluation is to review how well the program will succeed within its legal framework. It will be the analyst's job to determine the vigor and impetus of the program, or the lack of it, due to fiscal and administrative desires. Can management work with the director and accountant, or can the director work with the limitation imposed by the accountant?

The discussions of problem areas will be on an informal basis with several administrative members or knowledgeable staff. This will put into perspective all previous work and findings and give further insight to a successful program or a seemingly ambiguous one.

Discussions will be on the management level to see where losses of communication are and why. The analyst must determine whether the problems are real or only the result of governing laws. The solutions may become apparent but not discussed until the evaluation is summarized. All subjects of dispute will be analysed in the report when they are determined suitable. All loss of communication with the community and business leaders will be noted if it is a genuine problem. It will be a part of the analyst's job to form a clear picture of the program's reputation in the community. Can it raise local funds?; will it be supported?; what are its major drawbacks and would the community want a say in how it was managed? Then, does the program do what it was funded for and will it continue to be a productive alternative program in the future?

**END**