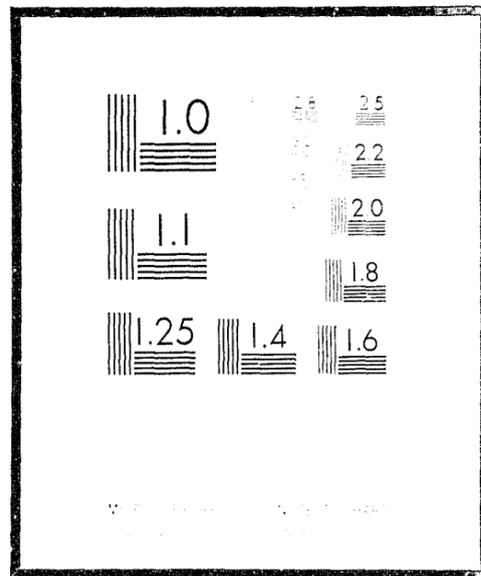


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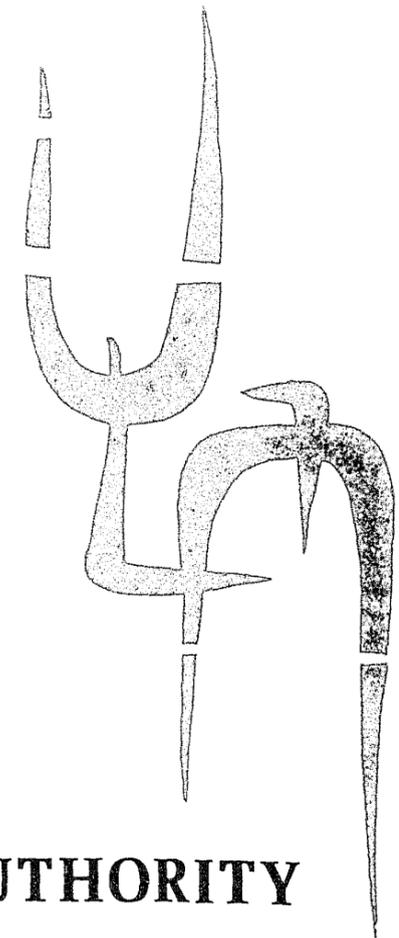
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final evaluation of
ward grievance procedure at
karl holton school

november, 1974



CALIFORNIA
YOUTH AUTHORITY

State of California

RONALD REAGAN
Governor



Health and Welfare Agency

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HIGHLIGHTS

With a grant from the Rosenberg Foundation, the California Youth Authority in consultation with the Center for Correctional Justice developed principles and guidelines for a Ward Grievance Procedure. The intent of the procedure is: 1) to give wards an opportunity for formal expression of grievances, and 2) to provide impartial hearings and reviews involving representation of wards, staff, and in some cases outside arbitrators to arrive at fair resolutions of the grievances.

The Procedure was first implemented by staff and wards of Karl Holton School on two living units during September 1973. At the same time an evaluation plan was initiated to assess the workability and effectiveness of the new Procedure. By March, 1974, all living units had implemented the new Procedure.

This evaluation covers the time period from September, 1973, through June, 1974, and involves both interviews and written questionnaires administered to samples of wards and staff at various time intervals, before and after implementation of the new Procedure.

An overall review of the major findings produced by the study is given in the Conclusions and Recommendations section of the report. Presented below are capsules of some of these findings.

GRIEVANCE STATISTICS

A total of 279 grievances were filed during an eleven month period from September, 1973, through July, 1974. Composite data from all living units shows an initially high period of use followed by a leveling out after six months to about 20 grievances being filed each month.

Approximately half of the grievances filed dealt with policy issues. The majority of the remaining grievances dealt with individual concerns such as alleging a rule or policy had been unfairly applied in a specific instance.

Findings on disposition show that over two-thirds of the total grievances filed were either upheld in favor of the ward (43%) or resulted in a compromise (25%).

RESULTS CONCERNING EVALUATION OBJECTIVES

Ward Knowledge of the Grievance Procedure appears to be adequate from the standpoint of knowing what needs to be done in order to file a grievance. However, wards are not sufficiently aware of their rights at various decision points in the Procedure and most wards do not know the time limits regarding filing, appealing or receiving a decision on a grievance.

Most wards and staff expressed a positive appraisal of the overall usefulness of the Procedure.

The majority of wards and staff felt that the Grievance Procedure is a better means for wards to express complaints than was possible otherwise.

Generally, grievances were processed in accordance with the principles and procedures developed for this purpose. This is evinced in such areas as wards filing on a wide variety of topics and participating in formal hearings. For the most part, wards were satisfied with the fairness of the proceedings. However, in the area of meeting time limits, the limits were not adhered to in many of the reviews held.

A proportionally greater number of wards expressed satisfaction when a grievance resolution was reached by a formal hearing than when a resolution was reached by informal means.

Of the total grievance resolutions, approximately half of the grievants expressed satisfaction with the outcome.

The introduction of the Grievance Procedure at least initially appears to be associated with perceptions of greater tension on the living units. However, it is also associated with an increase in the number of wards expressing a positive attitude toward staff.

STAFF REACTION TO GRIEVANCE PROCEDURE

There was almost universal agreement among staff surveyed that a formal Ward Grievance Procedure for dealing with ward complaints is needed.

Most staff felt that the training to implement the Procedure was adequate. However, when interviewed later, staff expressed a need for more training beyond initial orientation - a stronger program of on-going training and maintenance courses.

The impact of the Procedure was seen as creating time demand problems. However, staff felt the new Procedure helped to clarify policy issues and enhanced staff professionalism.

INTRODUCTION

This report presents information gathered during the first year's operation of the Ward Grievance Procedure Project at Karl Holton School.

Guidelines and principles for the Grievance Procedure were established by a Youth Authority task force in consultation with the Center for Correctional Justice, Washington, D.C. The guidelines include a definition of grievances, the purpose of the Procedure, and principles governing implementation of the Grievance Procedure. Within this framework, specific procedures for filing and hearing grievances were developed jointly by wards and staff on each of Holton's eight halls.

The system was first initiated on two halls (Sonora and Tejon) on September 17, 1973. There was to be a gradual expansion into other halls at the institution as the feasibility of the procedure was proven. By March, 1974 all units at Karl Holton were involved with the Ward Grievance Procedure.

The Procedure is designed to ensure that wards with grievances are given opportunity for full expression of these grievances and that just resolutions are attained through impartial hearings and reviews. As finally formalized, grievances are channeled through three levels of hearings or reviews. The first level involves a committee of wards and staff; the second level review includes at least one Youth Authority Administrator I (Institution Superintendent or Assistant Superintendent, and, in some instances, the Director of the Youth Authority); and the third level consists of an independent review board composed of a three-person panel, including a ward representative, administrative representative, and an outside, professional arbitrator from the American Arbitration Association. Decisions of this latter board are advisory only.

An Interim Report was issued in May, 1974, detailing results of the evaluation of the first phase of the project involving two experimental halls and two comparison units. This final report deals with the Procedure's operation on all eight halls at Karl Holton through the end of June, 1974.

OBJECTIVES

The evaluation plan addresses itself to five objectives which center around the workability and effectiveness of the Grievance Procedure, as well as its possible impact upon the social climate and related factors in the participating living units. The plans for the evaluation of the pilot project were detailed in a proposal issued in July, 1973, and revised in January, 1974. This report is organized to relate specifically to the five objectives:

1. *To assess the extent to which wards are familiar with the Grievance Procedure.*
2. *To assess whether the Grievance Procedure enables wards to express substantive complaints more adequately than was (or is) possible otherwise.*
3. *To assess the degree to which grievances are processed in a workable manner and in accord with the principles and procedures developed for this purpose.*
4. *To assess the degree to which grievances are resolved in satisfactory ways, as judged by grievants, wards, and staff.*
5. *To assess the possible impact of the Grievance Procedure upon the social climate and related factors within the project living unit. Of particular interest are any significant changes in: (a) acting-out behaviors among wards; (b) ward and staff relations; and (c) ward reactions to rules, regulations, and policy.*

In addition to data concerning these objectives, findings are presented on the number, types, and related aspects of grievances filed, as well as on staff reactions to the Grievance Procedure.

STUDY METHOD

The study method included several approaches for data collection. First, a pre-post design involving repeated measures for panels of wards from four units using the procedure was utilized. Both written questionnaires and structured interviews administered by research personnel were undertaken.

With the wards, the study population consisted of all wards on each of the four halls who had been at Karl Holton at least six weeks and who were expected to remain an additional four months so as to be available for the final testing. The questionnaires were administered one month prior to the introduction of the procedure on each hall and again after three months of use. The earliest of these questionnaires were administered in August, 1973, and the final questionnaires in April, 1974. Sixty-one wards were involved.

To obtain more in-depth information, using the same criteria, interviewees were randomly selected from five halls. These are assumed to be representative of the larger population and included both wards using the system and those not using it. These interviews were conducted during the first month of use of the Procedure on each hall and again two months later. The earliest of these interviews were conducted in September, 1973. The final interviews on the last two halls were done in April, 1974. A total of 41 wards participated in the initial interviews. The number was cut to 33 for the final interviews because of unexpected transfers, etc.

In addition, a sample of staff from all halls were given structured interviews at two points in time.* Staff were interviewed approximately one month after

*Staff from the first two halls (Sonora and Tejon) were interviewed on a post basis only.

introduction on their hall and again two months later. The first interviews were conducted in November; the last in May, 1974. Twenty-seven staff for the initial interview and 34 for the final interview were included. These included a selection of all occupational groups working on the halls. In addition, a random sample of 17 staff not working on the halls but involved with the wards on a daily basis were interviewed. This was at one point in time only - May, 1974.

To provide institution-wide data relative to the functioning of the Grievance Procedure, additional monitoring activities were undertaken commencing in February, 1974. A random sample of 74 wards from all units who had not filed a grievance in the first four months of use were interviewed. In addition, all users (134 wards filing grievances) were interviewed between February and late June, 1974. Usually, this interview was within two weeks of the initial filing date.

Finally, to better ascertain the extent to which wards were knowledgeable about the Procedure, a written questionnaire on a one-time basis was administered to all 242 wards in attendance at school at Karl Holton on June 28, 1974. Excluded were a small number of wards attending school off-grounds, sick, or in disciplinary lock-up.

In summary, the study groups involved were as follows:

<i>Panel Wards - Questionnaires</i>	61 pre, 61 post
<i>Panel Wards - Interviews</i>	41 pre, 33 post
<i>User Interviews</i>	134
<i>Non-User Interviews</i>	74
<i>Treatment Team Staff Interviews</i>	27 pre, 34 post
<i>Teachers Interviews</i>	10, one time only
<i>Security Staff Interviews</i>	7, one time only
<i>Ward Knowledge Questionnaire</i>	242, one time only

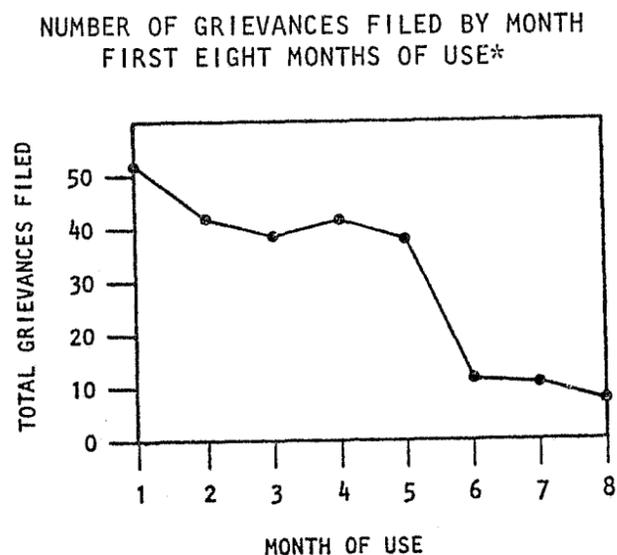
FINDINGS

GRIEVANCE STATISTICS

The Ward Grievance Procedure was initiated at Karl Holton in September, 1973. With experience gained on two living units, it was expanded to include all living units by early 1974. During the 11 months of use at Karl Holton, 279 grievances were filed. The rate at which the wards on the different halls filed grievances ranged from better than six per month (Tioga Hall - 55 grievances in 9 months) to less than two grievances per month (Sonora Hall - 21 grievances in 11 months).

The rate at which grievances were filed also varied over time. It had been speculated that with the introduction of the Grievance Procedure there would be an initial period of higher use due to experimentation followed by a drop in the number of grievances filed. This proved to be true as can be seen in Chart I. A further analysis by hall shows this to be a universal pattern - by the end of the fourth month of use, all halls had begun to drop. However,

CHART I



* The Chart represents the first eight months of use for all halls. The first halls began using the Procedure in September, 1973 and the last one in February, 1974.

it does appear that by the end of the sixth month of use there is a leveling out at about twenty grievances being filed each month by the 400 wards at the institution.

Table 1 illustrates the subject matter of the grievances filed. As can be seen, the greatest number of grievances (47%) dealt with policy issues - usually at the hall or institutional level. The second largest number (37%) dealt with individual concerns - usually alleging a rule or policy had been unfairly applied in a specific instance. Only a relatively small number (11%) dealt with alleged misconduct on the part of staff - contrary to the expectations of some at the time of the introduction of the Procedure. It is also interesting to note that only a very small number (3%) dealt with ward-related problems indicating that peer issues are relatively untouched by this system. Wards were not willing to use the system for peer conflicts.

TABLE 1

SUBJECT OF GRIEVANCES FILED, BY LIVING UNIT

Subject	Total N=279		Sonora N=21		TeJon N=33		Tioga N=55		Carson N=38		Donner N=48		Ebbetts N=39		Yuba N=14		Mono N=31	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Individual	102	36.6	5	23.8	16	48.5	26	47.3	3	7.8	21	43.8	22	56.4	1	7.1	8	25.8
Policy	131	46.9	13	61.9	10	30.3	20	36.4	29	76.3	25	52.1	6	15.4	10	71.4	18	58.1
Hall	(61)	(21.9)	(4)	(19.0)	(4)	(12.1)	(7)	(12.7)	(22)	(57.9)	(7)	(14.6)	(4)	(10.3)	(6)	(42.9)	(7)	(22.6)
Institution ..	(53)	(19.0)	(6)	(28.6)	(6)	(18.2)	(9)	(16.4)	(4)	(10.5)	(13)	(27.1)	(2)	(5.1)	(3)	(21.4)	(10)	(32.3)
Departmental ..	(17)	(6.1)	(3)	(14.3)	-	-	(4)	(7.3)	(3)	(7.9)	(5)	(10.4)	-	-	(1)	(7.1)	(1)	(3.2)
Staff Action	32	11.5	3	14.3	5	15.2	5	9.1	3	7.9	2	4.2	9	23.1	3	21.4	2	6.4
Ward	8	2.9	-	-	2	6.1	2	3.6	-	-	-	-	2	5.1	-	-	2	6.4
Equipment	6	2.1	-	-	-	-	2	3.6	3	7.9	-	-	-	-	-	-	1	3.2

The breakdown by various halls does indicate some differential filing by these groups. For example, the wards on Carson Hall (a Junior College Unit) were much

more likely to file on policy matters than were the wards of Ebbetts Hall. On the other hand, wards from Ebbetts were much more likely to file concerning a staff member's conduct than were wards from Carson Hall.

An early speculation was that because of their age and relative sophistication, the wards on the Junior College units would use the Grievance system to attack different issues than would the rest of the wards at Karl Holton. Significant differences did occur as can be seen in Table 2. These older wards did raise policy issues more often than the other wards, although this was largely because of Carson Hall and not Donner Hall. There was also a tendency not to use the system to deal with staff-related problems to the same extent that it was used on other halls.

TABLE 2

SUBJECT OF GRIEVANCES FILED
JUNIOR COLLEGE UNITS - REGULAR UNITS

Subject	Total* N=279		College N=86		Non-College N=193	
	Number	Percent	Number	Percent	Number	Percent
Individual	102	36.6	24	27.9	78	40.4
Policy	131	46.9	54	62.8	77	39.9
Hall	(61)	(21.9)	(29)	(33.7)	(32)	(16.6)
Institution	(53)	(19.0)	(17)	(19.8)	(36)	(18.7)
Departmental	(17)	(6.1)	(8)	(9.3)	(9)	(4.7)
Staff Action	32	11.5	5	5.8	27	14.0
Ward	8	2.9	-	-	8	4.1
Equipment	6	2.1	3	3.5	3	1.6

* $\chi^2=13.0$, d.f.=2, significant at $p<.01$, College vs. Non-College by Individual vs. Policy vs. remaining subjects.

Pre-established procedures allow for "joint" grievances to be filed by groups of wards reacting to common problems. One hypothesis was that with continued experience, greater use would be made of this provision by groups of wards. As can be seen in Table 3, filing of common grievances by two or more persons did not occur to any great degree (only 21 or 7.5% of the total number filed). Most of these were in the first three months of use. However, there was considerable use of the system by individuals filing about problems affecting more than one ward. A separate analysis did show some increased use of the system for this purpose over time.

TABLE 3

ORIGINATOR OF GRIEVANCES

Originator	Number	Percent
Total Grievances Filed	279	100.0
Grievances Filed by Groups	21	7.5
Grievances Filed by Individuals	258	92.5
concerning individual problems	(117)	(41.9)
concerning group problems	(141)	(50.6)

An analysis was made to determine if there appeared to be any differential use of the system by ethnic groups. Findings are reported in Table 4. Taking only those grievances filed by individuals, it does appear that Caucasians filed a greater number of grievances in proportion to their representation in the total population than one would expect. The reverse was true of Blacks.

TABLE 4
ORIGINATOR OF GRIEVANCE BY ETHNIC GROUP

Ethnic Group	Number N=253*	Percent	Percent of Total Population**
Caucasian	165	65.2	49.4
Mexican-American	21	8.3	11.0
Black	60	23.7	35.8
Other	7	2.8	3.8

* Not included in the total are 21 grievances filed by groups and five were ethnic origin was not known.

** Average percentage for period of December 31, 1973 to June 30, 1974.

In an attempt to determine the outcome of the grievances filed, final dispositions for all grievances were noted. These were divided into four categories based on resolutions noted on copies of the written forms returned to the wards. The four categories were: resolution basically upheld or granted that which the grievant requested, a compromise was reached granting in part that which was requested, the grievance was denied in that the grievant did not get what he requested, and undetermined - indicating a clear-cut finding could not be made based on the written form.

Table 5 shows that well over two-thirds of the total grievances filed were either upheld in favor of the ward (43%) or resulted in a compromise (25%). Only 26% were flatly denied. There was some variance among dispositions reached for the grievances filed on the different halls. It would appear that the wards on

Mono and Sonora Halls were the most likely to have their grievances denied while in contrast those from Ebbetts and Donner stood a rather good chance of at least arriving at a compromise if not having their grievance upheld.

TABLE 5
WARD GRIEVANCE DISPOSITION BY HALL
September, 1973 - August, 1974

Halls	Total		Upheld		Compromise		Denied		Undetermined*	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total Grievances Filed ..	279	100.0	120	43.0	70	25.1	72	25.8	17	6.1
Sonora	21	100.0	10	47.6	3	14.3	8	38.1	-	-
Tejon	33	100.0	13	39.4	8	24.3	8	24.2	4	12.1
Tioga	55	100.0	22	40.0	16	29.1	13	23.6	4	7.3
Carson	38	100.0	13	34.2	12	31.6	13	34.2	-	-
Donner	48	100.0	24	50.0	13	27.1	8	16.7	3	6.2
Ebbetts	39	100.0	20	51.3	11	28.2	5	12.8	3	7.7
Yuba	14	100.0	4	28.6	3	21.4	4	28.6	3	21.4
Mono	31	100.0	14	45.2	4	12.9	13	41.9	-	-

* Includes grievances filed but not resolved.

When grievance dispositions are looked at in terms of the ethnic background of the person filing the grievance (Table 6), it would appear that the scales are tipped in favor of the Caucasian over minorities. For example, grievances filed by Whites were denied a little over 20% of the time, while those filed by Blacks were denied almost 40% of the time. The reason for this is not clear based on the data available.

TABLE 6

WARD GRIEVANCE DISPOSITION BY ETHNICITY OF GRIEVANT
September, 1973 - August, 1974

Ethnic Group	Total		Upheld		Compromise		Denied		Undetermined*	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total Grievances Filed	279	100.0	120	43.0	70	25.1	72	25.8	17	6.1
Caucasian	165	100.0	72	43.6	48	29.1	34	20.6	11	6.7
Mexican-American ..	21	100.0	10	47.6	5	23.8	6	28.6	-	-
Black	60	100.0	20	33.3	11	18.4	23	38.3	6	10.0
Oriental	7	100.0	4	57.1	2	28.5	1	14.3	-	-
Other**	26	100.0	14	53.8	4	15.4	8	30.8	-	-

* Includes those grievances unresolved.

** Includes group grievances.

Dispositions were also looked at in terms of the level of review when reached (Table 7). Significant differences were noted. Denials occurred most when grievances were reviewed by the Superintendent or Director of the Youth Authority

TABLE 7

WARD GRIEVANCE DISPOSITION BY FINAL LEVEL OF REVIEW
September, 1973 - August, 1974

Level of Review	Total ¹²		Upheld		Compromise		Denied		Undetermined**	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total Grievance Filed ...	279	100.0	120	43.0	70	25.1	72	25.8	17	6.1
Withdrawn	7	100.0	-	-	-	-	-	-	7	100.0
Informal	63	100.0	29	46.1	21	33.3	6	9.5	7	11.1
Level I	101	100.0	50	49.5	23	22.8	26	25.7	2	2.0
Level II	102	100.0	39	38.2	23	22.6	39	38.2	1	1.0
Level III	6	100.0	2	33.3	3	50.0	1	16.7	-	-

* $\chi^2=17.5$, d.f.=8, significant at $p<.025$, Dispositions by Levels of Review.

**Includes those grievances unresolved.

(Level II). At lower levels, grievances tended to be upheld more often although it might be argued they often dealt with less substantial issues.

Finally, a check was made to see the degree to which the system was used by a large number of wards as opposed to use by a small group of "discontents". Table 8 shows that 163 grievances were filed by separate individuals during the first 11 months. Thus, assuming an average population of approximately 400 wards during that time, about 40% of them used the system at least once. As can be seen, 24 went on to file a second grievance while 25 filed three or more.

TABLE 8

FREQUENCY OF FILING BY INDIVIDUAL GRIEVANTS
September, 1973 - August, 1974

Frequency of Filing	Number	Percent
Individual grievants	163	100.0
Filed Once	114	69.9
Filed Twice	24	14.7
Filed Three or More	25	15.4

In Summary, 279 grievances were filed during the first 11 months of use. All halls showed a pattern of initial higher use followed by a decline in the rate at which grievances were filed after the first four months. Complaints involving problems with peers were not dealt with by the system. Most grievances (84%) dealt with either policy issues or individual problems. There was little use of the Procedure by groups with almost all grievances being

filed by individuals. Grievants tended to be White rather than Black. Use was relatively widespread - not being limited to a few "discontents". Finally, grievances tended to be upheld or result in a compromise rather than being denied.

*Objective 1 - To assess the extent to which wards are familiar with the
Grievance Procedure*

To evaluate this objective, a special questionnaire was developed and administered to 242 wards at Karl Holton School. The questionnaire was administered to all wards available in classroom sessions on June 28, 1974. This was approximately five months after the last of the living units implemented the new procedure.

The questionnaire was developed in conjunction with staff of the Center for Correctional Justice, to assure it would cover the important issues of what a ward should know about the procedure so that he could effectively use it. The questionnaire consists of seventeen items covering a wide range of questions on specific aspects of the Procedure.

Tables 9 through 12 provide data based on the questionnaire showing the extent to which wards are knowledgeable of the Grievance Procedure. The first table concerns wards' understanding of the types of grievances that can or cannot be filed. The second table provides data on wards' knowing their rights at various critical points in the Procedure. The third table displays information regarding how well wards know certain time limits within the procedure. The fourth table provides data on the extent to which wards understand what to do in order to file a grievance and other procedural matters.

Table 9 is comprised of five items displaying responses from wards to questions concerning the types of grievance that can be filed. The correct response category is identified by an asterisk. The questions in the table are arranged in descending order from the one with the highest number of correct responses.

TABLE 9

ITEMS ON WARD KNOWLEDGE OF GRIEVANCE PROCEDURE:
TYPES OF GRIEVANCE THAT CAN BE FILED

Questions	N=242	
	Number	Percent
Can a ward file a grievance concerning a hall rule?		
*Yes	194	80.2
No	15	6.2
Don't know	31	12.8
No answer	2	0.8
Can a ward file a grievance because he did not get all the points he has earned?		
*Yes	182	75.2
No	23	9.5
Don't know	35	14.5
No answer	2	0.8
Can a ward file a grievance against a rule made by the Director of the Youth Authority?		
*Yes	154	63.6
No	28	11.6
Don't know	57	23.5
No answer	3	1.3
Can a ward file a grievance using the Ward Grievance Procedure when the YA Board makes a decision he doesn't like?		
Yes	75	31.0
*No	92	38.0
Don't know	70	28.9
No answer	5	2.1
Can a ward file a grievance using the Ward Grievance Procedure against a DDMS decision to take away a day pass?		
Yes	132	54.5
*No	42	17.4
Don't know	67	27.7
No answer	1	0.4

* Correct answer. Average correct responses for the five items is 54.9%.

Table 9 shows that correct responses from the wards questioned on the five items ranged from 80.2 percent to 17.4 percent. It is interesting to note that the questions with the highest percent of correct responses are ones which require a "yes" answer rather than a "no" answer. This may imply that wards feel that they can file a grievance on any matter; in regard to simply measuring the extent of wards's knowledge in this area, 3 out of 5 questions were answered correctly by two-thirds of the respondents.

Table 10 consists of five items showing responses from wards to questions concerning the rights of the ward grieving.

Table 10 reveals that correct responses to the five items concerning this particular area range from 53.3 percent to 42.2 percent. Based on this, it appears that wards are only marginally aware of their rights at various points in the Grievance Procedure.

TABLE 10

ITEMS ON WARD KNOWLEDGE OF GRIEVANCE PROCEDURE:
RIGHTS OF THE WARD GRIEVING

Questions	N=242	
	Number	Percent
**A ward and his representative have the right to be present at the hall grievance committee meeting:		
*Always	129	53.3
Sometimes	40	16.5
Never	8	3.3
Don't know	62	25.6
No answer	3	1.3
If a ward doesn't like what the hall grievance committee decides, he can appeal it if:		
Grievance clerk says it's O.K.	12	5.0
Staff say it's O.K.	12	5.0
*Ward wants to appeal	124	51.2
Both ward and staff say it's O.K.	19	7.8
Don't know	72	29.8
No answer	3	1.2
If a ward hasn't heard from the hall grievance committee about his grievance within 5 to 7 days, he has the right to:		
Forget it	3	1.2
Talk to staff	22	9.1
File new grievance	29	12.0
*Go to the superintendent	119	49.2
Don't know	60	24.8
No answer	9	3.7
If a decision by the hall grievance committee or superintendent is not carried out, the ward has the right to:		
*File a new grievance	109	45.0
Forget it	12	5.0
Talk to your counselor	34	14.0
Talk to the chaplain	6	2.5
Don't know	71	29.3
No answer	10	4.2
**If a ward doesn't like the decision made on his grievance by the superintendent, he can:		
Do nothing about it	11	4.5
*Appeal to outside arbitrator	102	42.2
File a new grievance	56	23.1
Don't know	64	26.5
No answer	9	3.7

*Correct answer. Average correct responses for the five items is 48.2%.
**Questions rated as the most important by consultants and Superintendent/
Assistant Superintendent, Karl Holton.

Table 11 is comprised of three items displaying responses from wards to questions concerning certain time limits with the Procedure.

TABLE 11
ITEMS ON WARD KNOWLEDGE OF GRIEVANCE PROCEDURE:
TIME LIMITS

Questions	N=242	
	Number	Percent
The hall grievance committee must give a ward an answer to his grievance within:		
4 working days	29	12.0
*5 working days	52	21.5
6 working days	8	3.3
*7 working days	38	15.7
Don't know	108	44.6
No answer	7	2.9
If a ward doesn't like what the hall grievance committee decides and wants to appeal, he must do it within:		
12 hours	25	10.3
*48 hours	68	28.1
60 hours	1	0.4
72 hours	33	13.7
Don't know	112	46.3
No answer	3	1.2
If a ward doesn't like something that happened, how long after it happens does he have to file a grievance?		
12 hours	19	7.8
36 hours	9	3.7
48 hours	57	23.6
*72 hours	36	14.9
Don't know	119	49.2
No answer	2	0.8

*Correct answers. Average correct responses for these three items is 26.7%.

Table 11 shows that correct responses to the three questions range from 37.2 percent to 14.9 percent. In comparison to the other three areas, it is evident that wards are least knowledgeable about time limits.

Table 12 consists of four items displaying responses from wards to questions concerning the filing procedure and other procedural matters.

TABLE 12
ITEMS ON WARD KNOWLEDGE OF GRIEVANCE PROCEDURE:
FILING PROCEDURE AND OTHER

Questions	N=242	
	Number	Percent
***A ward normally first files his grievance with:		
Superintendent	4	1.7
Treatment Team Supervisor	9	3.7
Counselor	26	10.7
*Ward Grievance Clerk	170	70.3
Don't know	31	12.8
No answer	2	0.8
***Your hall grievance clerk is:		
**Name	135	55.8
Don't know	103	42.6
No answer	4	1.6
The hall grievance committee which makes decisions about your grievance includes:		
Wards only	18	7.4
Staff only	14	5.8
*Both wards and staff	153	63.2
Only outside volunteers	3	1.3
Don't know	52	21.5
No answer	2	0.8
If a ward doesn't like what the hall grievance committee decides and wants to appeal, the person who has the power to make the next decision is:		
Senior Youth Counselor	38	15.7
Treatment Team Supervisor	44	18.2
*Superintendent	66	27.3
Outside Arbitrator	17	7.0
Don't know	73	30.2
No answer	4	1.6

*Correct answer. The average correct responses for the first two items is 63%. The average correct responses for the last two items is 45.2%.

**Correct answer required ward writing name of grievance clerk.
***Questions rated as the most important by consultants and Superintendent/Assistant Superintendent, Karl Holton.

The first two items in Table 12 reveal that most wards know what needs to be done in order to file a grievance. This is indicated by 70 percent of the wards knowing that the ward grievance clerk is the person he first files his grievance with. Also, approximately 56 percent of the ward questioned were able to name the grievance clerk on their hall. The other two items in this table show wards to be fairly knowledgeable about representation on the hall grievance committee; however, only 27.3 percent of the 242 wards were able to correctly answer the fourth question.

In Summary, it appears that most wards know what needs to be done in order to file a grievance; however, wards are not adequately informed regarding their rights at various decision points in the Procedure and most wards do not know the specific time limits regarding filing, appealing or receiving a decision on a grievance.

An additional analysis of selected items on ward knowledge of the Grievance Procedure shows the number of correct answers is affected by wards' length of time at Karl Holton School. The 242 respondents were divided into the following three groups based on their time at the School:

- 1) *Two months and less*
- 2) *Three to six months*
- 3) *Seven months and more*

The data in Table 13 shows a general trend of wards' knowledge of the Procedure increasing as their length of time at the School increased. This most likely indicates that wards acquire knowledge of the Procedure informally from peers, rather than formal training and points to the need for more initial training for wards when they first arrive at the School.

TABLE 13
ITEMS ON WARD KNOWLEDGE OF GRIEVANCE PROCEDURE
BY WARDS' LENGTH OF TIME AT KARL HOLTON
(In Percent)

Question*	Length of Time at Karl Holton		
	Two months or more	Three to Six months	Seven months or more
	N=73	N=84	N=84
A ward normally first files his grievance with:			
Superintendent	1.4	1.2	2.4
Treatment Team Supervisor	6.8	4.8	-
Counselor	17.8	9.5	6.0
**Ward Grievance Clerk	46.6	78.5	83.3
Don't know	26.0	4.8	8.3
No answer	1.4	1.2	-
Your hall grievance clerk is:			
***Name	35.6	60.7	69.0
Don't know	61.6	38.1	29.8
No answer	2.8	1.2	1.2
A ward and his representative have the right to be present at the hall grievance committee meeting:			
**Always	46.6	53.6	59.5
Sometimes	16.4	21.4	11.9
Never	1.4	1.2	7.1
Don't know	34.2	21.4	21.5
No answer	1.44	2.4	-
If a ward doesn't like the decision made on his grievance by the Superintendent, he can:			
Do nothing about it	2.7	3.6	7.2
**Appeal to outside arbitrator ...	24.7	48.8	51.2
File a new grievance	32.9	19.0	19.0
Don't know	37.0	23.8	19.0
No answer	2.7	4.8	3.6

*Questions rated as the most important by consultants and Superintendent/Assistant Superintendent, Karl Holton.
**Correct answer.
***Correct answer required ward writing name of grievance clerk.

Objective 2 - Does the Grievance Procedure allow wards to express substantive complaints more adequately than was possible otherwise?

To better determine what methods had existed at Karl Holton for complaint resolution prior to the introduction of the Grievance Procedure, a sample of wards from five halls were asked about their complaints and experiences prior to the Grievance Procedure in getting them resolved. Staff were also asked similar questions. As Table 14 shows, taking the problem directly to staff was by far the most popular option utilized by wards. This did not vary from hall to hall. It would appear that most wards saw themselves as not using the more formalized

TABLE 14
WARD COMPLAINT RESOLUTION PRIOR TO GRIEVANCE PROCEDURE

Question	Wards N=41		Staff N=36 *	
	Number	Percent	Number	Percent
What did you do with complaints				
Went to staff	24	58.6	28	77.8
Went to another ward	1	2.4	-	-
Went to superintendent	-	-	3	8.3
Went to large group	-	-	3	8.3
Did nothing	12	29.3	-	-
Other	3	7.3	2	5.6
Had no complaints	1	2.4	-	-
What happened?				
Generally resolved	6	14.6	17	47.2
Sometimes resolved	4	9.8	12	33.3
Seldom or never resolved ...	22	53.7	6	16.7
Other	8	19.5	1	2.8
No complaint	1	2.4	-	-

*Asked of staff on pre basis only (27) except on two halls interviewed on a post basis only (9).

approaches (going to the Superintendent, taking up the problem in Large Group counseling sessions) although they were mentioned by staff. It is particularly interesting to note that a sizeable group of the wards (29%) reported doing nothing with their complaints.

Wards and staff were also questioned about the extent to which complaints had been resolved in the past. A relatively small group of wards (24%) felt that complaints at Holton had been either "generally" or "sometimes" resolved. The largest number (54%) expressed the feeling that resolution had occurred "seldom" or "never". In contrast, staff tended to be quite a bit more optimistic. Almost half thought complaints had generally been worked out. The rest were less certain - including 17% who thought "seldom or never" would best describe the situation.

As previously noted, with the introduction of a formal grievance system there was considerable use of it by a fairly large number of wards - approximately four out of every ten during the first 11 months. However, because of its non-use by better than half the wards, an attempt was made to look at both those who filed and those who did not file to see if the Procedure was really a viable alternative available to all wards and to determine what differentiated between the two groups.

A random sample of wards not using the Grievance Procedure from all halls were asked to explain how they dealt with their complaints. Table 15 indicates the single largest reaction (42%) was to take the matter up directly with staff. A fairly sizeable group (28%) did indicate that they would use the Grievance Procedure although they hadn't done so up to now. Doing nothing (15%) or denying they had complaints (11%) accounted for most of the rest. It is interesting

to note that when these responses are compared to those made by wards describing problem resolution prior to the Grievance Procedure, the biggest change is a sharp drop in the percentage of respondents saying they did nothing when faced with a problem. It would seem that even if not used, the Procedure is seen as a potential avenue for complaint resolution.

TABLE 15
NON-USERS METHODS OF DEALING WITH COMPLAINTS

Questions	N=74	
	Number*	Percent
How do you deal with complaints		
Talk with staff	32	42.1
Use grievance procedure	21	27.6
Talk with other wards	3	3.9
Do nothing	11	14.5
Other attempted resolution	1	1.3
No significant complaints	8	10.5

* More than one response possible.

When asked why they hadn't used the Procedure although all were aware of its existence, Table 16 shows answers varied. The largest number (20 or 27%) felt there was no complaint of such a serious nature that they had wanted to file a grievance. 47% either said they preferred to work it out another way or had other miscellaneous reasons for not using the system. A relatively small number (11 or 15%) were reluctant to file out of fear of possible negative consequences. Almost an equal number did not file because they felt it would not do any good.

TABLE 16
REASONS FOR NOT USING GRIEVANCES PROCEDURE

Question	N=74	
	Number*	Percent
Why haven't you used the grievance procedure?		
No complaint serious enough	20	27.0
Prefer to work it out another way	16	21.6
Fear possible negative consequences	11	14.9
System lacks credibility	10	13.5
Other	19	25.7

* More than one response possible.

Both users and non-users were asked for a generalized appraisal of the usefulness of the system in resolving complaints.

As Table 17 shows, even after having filed a grievance or having watched the Procedure in use for four months, there was a reluctance on the part of most wards to categorize the process as "generally useful". However, only a very small number (6%) saw the Procedure as being so "bad" that it should be abolished. Between the "users" and the "non-users" there is very little if any difference - certainly not enough to account for one group having filed grievances and the other not.

TABLE 17
WARD PERCEPTIONS OF USEFULNESS OF GRIEVANCE PROCEDURE (USER/NON-USER)

Question	Total Wards N=208		"User" Wards N=134		"Non-user" Wards N=74	
	Number	Percent	Number	Percent	Number	Percent
	How useful is the grievance procedure					
Useful	49	23.6	29	21.6	20	27.0
Fairly useful	94	45.2	62	46.3	32	43.2
Poor system	42	20.2	29	21.6	13	17.6
Bad system	13	6.2	10	7.5	3	4.1
Other	8	3.8	2	1.5	6	8.1
No answer	2	1.0	2	1.5	-	-

However, a separate analysis (Table 18) does show variation between the ratings given by the wards from various halls. For example, on Ebbetts Hall, only eight wards out of forty (20%) saw the system as generally useful. Fourteen (36%) said

TABLE 18
PERCEPTION OF USEFULNESS OF GRIEVANCE PROCEDURE BY HALL

Question	Total* N=208		Sonora N=13		Tejon N=20		Tloga N=25		Carson N=32		Donner N=34		Ebbetts N=40		Yuba N=20		Mono N=24	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
How useful is the Grievance Procedure																		
Useful	49	23.6	4	30.8	3	15.0	12	48.0	5	15.6	8	23.6	8	20.0	3	15.0	6	25.0
Fairly useful .	94	45.2	3	23.1	9	45.0	10	40.0	19	59.4	20	58.8	17	42.5	4	20.0	12	50.0
Poor system ...	42	20.2	5	38.4	5	25.0	1	4.0	8	25.0	4	11.8	12	30.0	2	10.0	5	20.8
Bad system	13	6.2	1	7.7	1	5.0	-	-	-	-	-	-	2	5.0	8	40.0	-	-
Other	8	3.8	-	-	1	5.0	2	8.0	-	-	1	2.9	1	2.5	3	15.0	1	4.2
No answer	2	1.0	-	-	1	5.0	-	-	-	-	1	2.9	-	-	-	-	-	-

it was either a poor system needing extensive revision or so bad it needed to be replaced. Yuba Hall was even worse, 10 out of 20 (50%) taking the latter position. By contrast, on Tioga Hall, 22 of 25 (88%) saw the Procedure as either generally or fairly useful.*

Users and non-users were asked a question to find out how comfortable they would feel in using the system to register a complaint. Responses are presented in Table 19. Based on this, it would appear that users of the system are more likely to feel comfortable in bringing up a wider variety of complaints than are non-users. For example, almost twice as many non-users as users reported that they would be comfortable filing only a "few" types of grievances.**

TABLE 19
COMFORT IN FILING GRIEVANCES

Question	Users N=134		Non-Users N=74	
	Number	Percent	Number	Percent
	Would you (or wards) feel comfortable filing:			
Most types of grievances	68	50.8	23	31.1
Some types of grievances	33	24.6	28	37.8
Few types of grievances	17	12.7	17	23.0
No grievances	10	7.5	6	8.1

* Just why this variation is not clear. However, common to both Ebbetts and Yuba is limited resolution of grievances by the hall Grievance Committee. On Ebbetts, grievances were generally dealt with informally. On Yuba, a high percentage went to the Superintendent. This is in contrast with Tioga where a high percentage were dealt with by the committee. See Table 26.

** This finding was reinforced by analysis of additional data which showed that while 39% of those who filed a grievance said they would file on "anything", only 8% of the non-users agreed they would do the same.

Because staff occupy an extremely powerful position in the eyes of most wards, it was felt to be important to determine how wards thought staff reacted to filing of grievances. If they perceived a negative reaction this could be expected to drastically reduce the effectiveness of the Procedure as a channel for complaint resolution. Staff were asked how they thought fellow staff felt about ward's filing grievances. Wards were asked how they thought staff felt. Findings are reported in Table 20.

TABLE 20
STAFF AND WARDS' PERCEPTIONS OF STAFF REACTION TO USE OF GRIEVANCE PROCEDURE

Question	Total Staff N=51		Total Wards N=107		Panel Wards N=33		"Non-User" Wards N=74	
	No.	%	No.	%	No.	%	No.	%
	How do you think staff feel toward wards filing grievances?							
Accept It	15	29.4	29	27.1	13	39.4	16	21.3
Accept It with some reservation	21	41.2	26	24.3	12	36.4	14	18.7
Somewhat suspicious of It	13	25.5	20	18.7	4	12.1	16	21.3
Don't want anything to do with It	-	-	16	15.0	3	9.1	13	17.4
Depends on Individual staff	1	2.0	11	10.3	1	3.0	10	13.5
Don't know	1	2.0	5	4.7	-	-	5	6.8

By and large, staff perceived themselves as fairly accepting of the idea although

25% did state that they thought others were at least somewhat suspicious.*

Wards as a group tended to be more pessimistic about how they thought staff probably felt. This was most markedly apparent when responses from wards not using the system are compared to those panel wards randomly selected from the first five units to use the Procedure. Fully 17% of the non-users thought staff "didn't want anything to do with it" and they were joined by an additional 21% who thought staff to be at least suspicious.

To better determine what was in fact staff's reaction when a grievance was filed at least in the eyes of the wards doing the filing - users of the system were questioned about what they thought to be the reaction to their complaints both before actually filing and then once they had filed a formal complaint. Table 21 show that equal numbers felt that there had been positive or negative reaction to complaints prior to filing. Very often, those feeling that there had been positive support related that they had been encouraged to file a grievance as the best means of getting the problem solved. Once the grievance had actually been filed, only 17% of those interviewed reported that there had been a negative reaction from staff.** Among the remainder, 30% felt that there had

* Further questioning also revealed that better than two-thirds of those interviewed thought this acceptance did vary from staff member to staff member. The two generally held opinions seemed to be that since the line worker was the most involved he was probably the most concerned or that acceptance was based on the individuals own sense of security on the job. The more secure he was the less likely he was to worry about the introduction of a grievance procedure.

** It should be added that with two possible exceptions, there was never a claim by a ward to have been subjected to any form of reprisal for the use of the system. In neither of the two was it felt that serious reprisals, if any at all, had in fact taken place.

again been positive support for the move.

TABLE 21
GRIEVANTS PERCEIVED REACTIONS OF STAFF TO FILING PROCESS

Question	N=134	
	Number	Percent
What was:		
Reaction to complaint before filing		
Supportive	41	30.6
Neutral	28	20.9
Negative	41	30.6
Undetermined/None	21	15.7
Other	-	-
No Answer	3	2.2
Reaction to filing grievance		
Supportive	41	30.6
Neutral	36	26.9
Negative	23	17.2
Undetermined/None	29	21.6
Other	5	3.7

Finally, wards were asked what could be done to improve the functioning of the new Procedure (Table 22). Taken as a group, very few (less than 5%) felt things to be so good that no changes were needed. Particularly among those who had filed grievances was there a call for various procedural changes which they thought would make things better. These were scattered over a broad range - from how to pick the mediator to changing the appeal process. A fairly sizeable group of wards felt that staff "power" should be lessened somehow. This was generally expressed in terms of having "outsiders" come in earlier to hear the matter under consideration. As might be expected, the non-users were the most

likely (25%) to be lacking in suggestions.

TABLE 22
WARD PERCEPTIONS OF NEED FOR IMPROVEMENT IN THE GRIEVANCE PROCEDURE

Questions	Total R=248*		Panel R=36		Users R=134		Non-users R=78	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
How could the system be improved?								
Various procedural changes ...	78	31.5	5	13.9	53	39.6	20	25.7
Lessen staff control	55	22.2	9	25.0	29	21.6	17	21.8
Speed-up process	35	14.1	2	5.6	24	17.9	9	11.5
Bring in new staff	7	2.8	3	8.3	-	-	4	5.1
No change needed	12	4.8	5	13.9	1	0.8	6	7.7
Don't know	47	19.0	6	16.7	21	15.7	20	25.7
No answer	14	5.6	6	16.7	6	4.5	2	2.6

* More than one response per respondent was possible.

The questionnaire data pertaining to *Objective 2* is shown in the following three tables. The first one concerns wards' feeling at ease about expressing complaints and wards' perception of staff willingness to listen to wards who express complaints. The second table provides data on facts relating to ward willingness to express complaints; these factors cover staff reaction, other wards' reaction and wards' perceived role or stance. The third table concerns ward appraisals regarding procedural ease and expected consequences of expressing complaints and trying to change rules or hall conditions.

Pre- and post responses on the two items concerning ease of expressing complaints are exhibited in Table 22.

The first item shows relatively little change from pre- to post with regard to

a ward respondent saying that he feels at ease about expressing complaints. However, it is interesting to note that most wards questioned (67.8% on Pre- and 70.7% on Post) felt ease in expressing complaints always, often or at least sometimes.

TABLE 23
WARD RESPONSES REGARDING EASE OF EXPRESSING COMPLAINTS

Questions	N=59			
	Pre		Post	
	Number	Percent	Number	Percent
Do you feel at ease about expressing complaints to most staff:				
Always/Often/Sometimes	40	67.8	41	70.7
Not usually/Never	19	32.2	17	29.3
How do most staff usually treat wards who complain about rules and conditions?				
Listen and try to help/mostly just listen	44	74.6	46	79.3
Try not to listen/refuse to listen ..	15	25.4	12	20.7

Note: Data in the column headed "Post" does not add to N=59 because some wards did not respond to some questions. Tables 23, 24, 25 omit two respondents where both pre- and post questionnaires were not available.

The second item reveals a slight increase from pre- to post in wards' perceiving that most staff usually listen and try to help or just listen to those who complain about rules and conditions. Again on both the pre- and post question a high proportion, approximately three-fourths, of the wards questioned felt staff would at least listen to their complaints about rules and conditions.

Seen on an overall basis, Table 23 indicates most wards feel at ease about expressing complaints and most wards view staff as receptive to their complaints

about rules and conditions, at least to the point of listening to their concerns. Featured in Table 24 are pre- and post responses with regard to willingness to express complaints. The table consists of a summation scale consisting of four component items, and three additional items covering various aspects.

TABLE 24
WARD WILLINGNESS TO EXPRESS COMPLAINTS

Questions	N=59			
	Pre		Post	
	Number	Percent	Number	Percent
How much do you think your willingness to express complaints is influenced by:				
*Staff reaction (Summation Scale):				
A lot/Some	134	56.8	133	59.1
None	102	43.2	92	40.9
Other wards looking down on you for complaining:				
A lot/Some	32	54.2	26	45.6
None	27	45.8	31	54.4
Hard for me to speak out to staff:				
A lot/Some	23	39.0	15	26.8
None	36	61.0	41	73.2
Playing it quiet and "cool" is the best way to make it:				
A lot/Some	48	81.4	48	82.8
None	11	18.6	10	17.2

Note: Some of the numbers do not add to N=59 because some wards did not respond to some questions.

* The scale is a summation of each respondent's scores on the following four items: "staff resenting you", "possible loss of privileges", "not getting a square deal because of complaining", and "staff might see complainers as weak". Total score for the summations scale is 236 (N=59 times 4 items).

The first item, or summation scale, pertains to staff reaction, as reflected by ward responses to the following four areas:

1. *Staff resenting you for complaining.*
2. *Possible loss of privileges for complaining.*
3. *Not getting a square deal because of complaining.*
4. *Staff might see complainers as weak.*

Each ward was asked how much he thought he was influenced by the above four factors.

The summation scale shows relatively little change from pre- to post in wards feeling their willingness to express complaints was influenced by staff reaction. Close to 60% felt they were influenced by staff reaction a lot or some; however, approximately 40% felt they were not at all influenced by staff reaction.

The other three items in this table show numbers and percentages based on respondents (rather than responses) for the sample of wards. The relative pre-post change for the first item indicates wards were less influenced by "other wards looking down on you" after the implementation of the Procedure than before. This is represented by a 8.6% decrease in the category of "A lot/Some". The "Hard for me to speak out" item reveals a positive pre-post change. A greater number of wards felt that it was not at all difficult to speak out to staff. Responses to the last item show little change from pre- to post. However, it is interesting to note that approximately 80% of the respondents felt playing it quiet and "cool" is the best way to make it.

Table 24 generally implies that after implementation of the new Procedure wards were less influenced by negative reactions from other wards in regard to expressing complaints and it was easier for wards to speak out to staff.

Displayed in Table 25 are ward responses, pre- and post, of factors relating to procedural ease and expected consequences of trying to change rules and hall conditions.

TABLE 25
WARD RESPONSES RELATIVE TO COMPLAINING OR TRYING TO CHANGE RULES OR HALL CONDITIONS

Questions	N=59			
	Pre		Post	
	Number	Percent	Number	Percent
I feel that complaining or trying to change rules or hall conditions is:				
A hassle?				
Yes	41	69.5	40	69.0
No	18	30.5	18	31.0
Not worth getting staff uptight?				
Yes	23	39.0	20	35.1
No	36	61.0	37	64.9
Likely to make me a "nack"? **				
Yes	6	10.2	3	5.4
No	53	89.8	53	94.6
Too hard to understand how to do?				
Yes	16	27.1	10	18.2
No	43	72.9	45	81.8
Worth the trouble?				
Yes	31*	52.5	41*	71.9
No	28	47.5	16	28.1
Something other wards can do if they want to:				
Yes	38	64.4	40	70.2
No	21	35.6	17	29.8

Note: Some of the numbers do not add to N=59 because some wards did not respond to some questions.

* Pre-post change is significant at .05 level based on two-tailed sign test.

** Undesireable, outcast.

The following highlights the three items showing an appreciable pre-post change. Two are in the desired direction, indicating wards felt it is easier to understand how to change rules or hall conditions, and it is worth the trouble; the latter change is statistically significant. However, one item is in the negative direction, indicating a slight increase in feeling it is something other wards can do if they want to. In summary, Table 25 shows some appreciable pre-to post change mainly in a positive direction.

In Summary, prior to the introduction of the Grievance Procedure, wards and staff saw ward complaint resolutions as being attempted primarily through interactions with staff. Wards generally saw complaints as going unresolved although staff were somewhat more optimistic. With the introduction of the Ward Grievance Procedure, 69% of those wards interviewed thought the system to be either "generally" or "fairly" useful. However, this varied considerably according to the ward's hall.

With the Procedure in use, both interview and questionnaire responses indicate that most wards feel at ease in expressing complaints, are less concerned about negative reactions from peers for complaining, feel more at ease in approaching staff, and feel they will at least listen when they do complain. However, users of the system when compared to non-users reported they would feel more comfortable in filing a wider range of complaints or grievances.

Among non-users, only a small minority reported they had not used the system because of either doubt about its efficacy or fear of staff reprisal. However, many wards expressed concern over staff's acceptance of wards' use of the system. In contrast, staff reported considerably less concern about the Procedure than

wards attributed to them. In practice, only 17% of the wards using the system reported possible negative reactions from staff.

Objective 3 - Assess the degree to which grievances are processed in accordance with principles:

As set up at Karl Holton, the Ward Grievance Procedure is to ensure all wards either as individuals or groups, the opportunity to voice their opinions, disagreements, and complaints. The definition of a grievance is intentionally broad - "any kind of complaint, beef, or disagreement a ward may have against another person or persons, or complaint that a ward may have about the application of any written policy in that he feels he has been treated unfairly or the policy has been applied in an inconsistent, coercive, or discriminatory manner."

The purpose of the Procedure is not that of adjudication - right versus wrong - but rather achievement of resolutions of problems through cooperative action by wards and staff. Equal voice is to be given to both the wards and the staff in arriving at what hopefully will be satisfactory solutions. Levels of review are established with time limits at each level to assure a workable and speedy resolution process.

To assess whether grievances were being processed in accordance with pre-established principles, several functions were reviewed. These were - the extent to which a wide variety of complaints were addressed, the ability of the system to reach decisions, movement of complaints through the various levels, use of formal hearings, wards access to hearings, availability of representation for grievants, perceived fairness of the hearing, degree to which written responses were provided, and finally, adherence to time limits.

As discussed in the section entitled "Grievance Statistics", grievances have been

filed covering a wide variety of topics. Thus, it would appear that the Procedure is operating using the broad definition of grievances noted above.

Levels of resolution of grievances are reviewed in Table 26. As can be seen, all but seven of the 279 grievances filed resulted in resolution of some sort. Of the seven not resolved, six were formally withdrawn by the grievants and one was withdrawn when the grievant was transferred to another institution before a hearing could be held.

In terms of resolution of the grievances at various levels, the table indicates that better than half of the grievances resolved were handled at the hall level without resort to review by higher authorities.* Use of an outside arbitrator

TABLE 26
HIGHEST LEVEL OF GRIEVANCE RESOLUTION BY HALL

Halls	Total		Withdrawn		Informal		Level I		Level II (Superintendent)		Level II (Director)		Level III	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Total Grievance Filed	279	100.0	7	2.5	63	22.6	101	36.2	95	34.1	7	2.5	6	2.1
Sonora	21	100.0	-	-	6	28.6	7	33.3	5	23.8	3	14.3	-	-
Tejon	33	100.0	3	9.1	13	39.4	9	27.3	8	24.2	-	-	-	-
Tloga	55	100.0	1	1.8	10	18.2	31	56.4	10	18.2	2	3.6	1	1.8
Carson	38	100.0	-	-	4	10.5	12	31.6	21	55.3	1	2.6	-	-
Donner	48	100.0	1	2.1	9	18.8	8	16.7	27	56.2	-	-	3	6.3
Ebbetts	39	100.0	2	5.1	17	43.6	10	25.6	9	23.1	1	2.6	-	-
Yuba	14	100.0	-	-	4	28.6	4	28.6	6	42.8	-	-	-	-
Hono	31	100.0	-	-	-	-	20	64.5	9	29.0	-	-	2	6.5

* A separate analysis revealed that only rarely was it impossible for the joint ward/staff committee to arrive at a majority decision in reference to the grievance being considered. In only 11 cases (4%) was it necessary to pass the grievance to the next level for a decision because agreement could not be reached.

was relatively rare.

Among the various halls, there was considerable variance in the level at which resolution occurred. For example, more often than not, grievances on Carson and Donner (the two Junior College units) were resolved by the Superintendent rather than by the hall grievance committee. Two other halls, Tejon and Ebbetts, showed a tendency to use informal resolution at a rate almost double that of the average of the other halls.

An essential element of the Ward Grievance Procedure is wards and staff sitting down together to jointly resolve complaints that have been expressed. At Karl Holton, a formal hearing was provided at the hall level where the ward would have an opportunity to present his case and seek resolution before a committee composed of both wards and staff. Among the 134 interviewed, 64, or almost half reported having no such hearing. Because of the importance of joint resolution in meeting the intent of the Ward Grievance Procedure, several additional questions were asked of those wards.

As is seen in Table 27, 7 (10.9%) allegedly requested a hearing but still were not granted one. When asked why their grievance was handled informally, this same group was almost evenly split between (1) those who felt it had been largely a staff decision or (2) those who felt it was a decision they themselves had made either alone or jointly with staff.

TABLE 27
INFORMAL GRIEVANCE RESOLUTION

Question	N=64	
	Number	Percent
Did you ask for a hearing?		
Yes	7	10.9
No	53	82.8
No Response	4	6.3
Why was there no hearing?		
Staff/Ward Joint Decision	19	29.7
Primarily Ward Decision	5	7.8
Primarily Staff Decision	21	32.8
Other	15	23.4
No Response	4	6.3

Pre-established principles mandated that the ward filing the grievance be present at at least one hearing and that he have a representative of his choice if so desired. Of the 70 interviews conducted where a hearing had been held, seven respondents reported they did not attend that hearing. The reasons given for this varied but primarily they seemed to be related to the newness of the Procedure and the participants inexperience. Interestingly enough, 54% of the wards interviewed and having a hearing reported they did not want a representative but preferred to speak for themselves. Only 11% stated they had requested a representative and he was not at the hearing. 35% requested and had a representative. Where a hearing had been held and the ward had participated in it, he was asked

to assess the fairness of the proceedings. Of the 63 respondents, 49 (78%) reported the hearing to have been fair in their opinion. 13 (21%) felt the hearing had been unfair for one or more reasons. One ward was not sure.

To help ensure accountability, all wards using the system are to be given written responses to their complaints. Of the 134 wards interviewed, 120 (90%) reported they had received these written replies. Twelve (10%) related they had not received them as they should have.

To ensure speedy resolution of grievances, time limits were set for each level of review. While each hall was free to set its own limits for the various levels, the total time allowed was fixed. Generally, a total of ten working days was the maximum for review at Levels I and II. As can be seen in Table 28, adherence to the limits was less than universal. A further analysis shows that at the first level, halls differed in their ability to meet their own imposed deadlines. The worst did so only 14% of the time.

TABLE 28
COMPLIANCE WITH HEARING TIME LIMITS

Level	Total	Hearing within Limit		Hearing Exceeded Limit		Unable to Determine	
	Number	Number	Percent	Number	Percent	Number	Percent
Level I	192	96	50.0	67	34.9	29	15.1
Level II	106	55	51.9	43	40.5	8	7.5
Level III	6	-	-	6	100.0	-	-

Despite this, the provision allowing wards to automatically appeal to the next

highest level of review if the time limit was exceeded was invoked only occasionally. Of the 21 times this was done, 17 occurred in the Junior College hall.

To briefly summarize the material available relative to the third objective, it would appear that for the most part there was adherence to established procedures in processing grievances through the system. This is particularly impressive because of the experimental nature of the program where prior experience was lacking. Grievances were handled on a wide variety of topics by wards and staff working together and resolutions were reached. Grievants did participate in the formal hearings and for the most part were satisfied with the fairness of the proceedings. Likewise, written responses were made available. It was only in the area of meeting the time limits established for processing the grievances at the various levels the major problems appeared. It was not uncommon for decision making to exceed the time allowed.

Objective 4 - Assess the degree to which the grievances were adequately resolved as viewed by wards as well as by staff

Toward this end, two approaches were used. First, wards filing grievances were questioned as to their satisfaction with the resolution reached. With four exceptions, all wards filing grievances between February and late June, 1974, were interviewed. Their reaction to the resolution at the final level of review was obtained except where the matter was decided by outside arbitration. Feelings about resolution at this level were not obtained since wards were usually interviewed within two weeks of the filing of their grievances and outside review was not completed within that time limit.

Table 29 shows that a total of 134 wards were questioned about the degree to which they were satisfied with the resolution to their grievance. There was almost an even split between the number satisfied and the number dissatisfied.

TABLE 29
WARD SATISFACTION WITH GRIEVANCE RESOLUTION
BY LEVEL OF HEARING

Question	Total N=134		Informal Resolution N=34		Level I N=44		Level II N=59	
	No.	%	No.	%	No.	%	No.	%
Are you satisfied with the resolution to your grievance?								
Yes	69	50.4	12	35.3	26	59.1	31	52.5
No	65	47.4	20	58.8	18	40.9	27	45.8

The number expressing satisfaction was greatest when the matter was resolved at the first level of review and least when the matter was handled informally.

A separate analysis was done to determine satisfaction expressed when there was a formal hearing as opposed to an informal resolution without such a hearing. As can be seen in Table 30, it appears that most of the informal resolutions result in dissatisfaction. Despite the fact that almost 80% of those matters handled informally were resolved either in favor of the ward or in what was thought to be an acceptable compromise, only 35% of those interviewed were satisfied with the outcome. This compares with formal resolutions where 67% appeared to have been resolved in favor of the ward or resulted in an acceptable compromise but where 55% of the wards expressing satisfaction. While the exact reason for this is unknown, one speculation is that with the introduction of a formal procedure, the procedure itself and not just the resolution of the problem was important and valued by the grievant. Therefore, when deprived of a formal hearing, regardless of resolution, there was less satisfaction.

TABLE 30
WARD SATISFACTION WITH RESOLUTION
(INFORMAL vs. FORMAL RESOLUTION)

Question	Total		Informal Resolution		Formal Resolution	
	N=134		N=34		N=103	
	Number	Percent	Number	Percent	Number	Percent
Are you satisfied with the resolution to your grievance?						
Yes	69	50.4	12	35.3	57	55.3
No	65	47.4	20	58.8	45	43.7

The second approach to determining adequacy of grievance resolutions was to interview both wards and staff about their generalized perceptions. Three separate groups were questioned - Treatment Team staff working on those halls using the procedure, wards randomly selected from the first five halls using the system, and a random sample of wards who did not use the procedure during the first four months it was available to them.

The first two groups were interviewed after approximately one month of use and again after about three months of exposure. Results are presented in Table 31. As can be seen, at the end of the time period about 70% of both groups felt that a ward could expect his grievance to be worked out fairly. However, where fair resolution was questioned, there was some difference between wards and staff. While none of the staff felt that a grievance definitely would not be resolved fairly, nearly 10% of the wards felt this way after three months of use.

TABLE 31
WARD/STAFF EXPECTATION OF FAIR GRIEVANCE RESOLUTION

Question	Treatment Team Staff				Wards			
	Pre		Post		Pre		Post	
	N=27		N=34		N=41		N=33	
	No.	%	No.	%	No.	%	No.	%
Will grievance be worked out or settled fairly?								
Yes	19	70.4	24	70.6	25	61.0	23	69.7
No	-	-	-	-	3	7.3	3	9.1
Sometimes	8	29.6	9	26.5	8	19.5	6	18.2
Don't know	-	-	-	-	5	12.2	1	3.0
No answer	-	-	1	2.9	-	-	-	-

The third group of "non-users" was questioned only after four months of exposure. Their responses revealed that as a group they were much more pessimistic about what could be expected than were the others. A summary of findings is presented in Table 32. As can be seen, only a little better than 25% felt that use of the Procedure would result in a complaint being worked out or settled fairly.

TABLE 32
NON-USERS EXPECTATION OF FAIR GRIEVANCE RESOLUTION

Question	Random Sample of "Non-users" N=74	
	Number	Percent
Will a grievance be settle or worked out fairly?		
Yes	19	25.6
No	13	17.6
Sometimes	29	39.2
Don't know	13	17.6

Of the 65 wards reporting they were dissatisfied with the results achieved through the use of the Grievance Procedure, 21 stated they had filed an appeal in an attempt to gain satisfaction. Where no appeal was made despite the voiced dissatisfaction, the ward was asked why. Findings are reported in Table 33. The biggest single reason for not making an appeal was the expectation that nothing would be changed by doing it. "It won't make any difference so why bother" was an often expressed reaction. A second sizeable group did not appeal simply because they were not all that dissatisfied. This was often the case where a com-

promise of some sort had been reached. Four wards reported they did not appeal because they were not familiar with the procedures to be followed. Only one reported he did not appeal out of fear of staff reaction if he pushed the matter further.

TABLE 33
REASON FOR NOT APPEALING UNSATISFACTORY RESOLUTION

Question	N=44	
	Number	Percent
Why didn't you appeal?		
No expectation of change	25	56.8
Not dissatisfied enough to appeal	12	27.3
Unfamiliar with appeal process	4	9.1
Fear staff reaction	1	2.3
Other	2	4.5

In Summary, where an actual grievance had been filed and a resolution reached, the grievants were almost evenly split in terms of their reaction to the resolution. While satisfaction seemed to roughly parallel the extent to which the ward was or was not granted that which he requested, it does appear that with a formal hearing there was increased satisfaction when compared to an informal handling of the matter.

Despite the fact that the system specifically provides readily available channels of appeal if the grievant is not satisfied with the resolution, many wards did not always make use of them. Primarily this seemed to be because there was no expectation that this would in fact do any good. However, a sizeable number also

admitted to just not being all that dissatisfied.

Wards and staff were also asked about their generalized perceptions of the adequacy of resolutions reached. Most felt that grievances would be adequately worked out and it was only among those wards identified as "non-users" that there was considerable doubt as to the efficacy of filing grievances.

Objective 5 - To assess the possible impact of the Grievance Procedure upon the social climate and related factors with the project living unit.

Wards on the first five halls using the Grievance Procedure were asked to evaluate the emotional climate or tone on their halls. This was done soon after the introduction of the Procedure and again after about three months exposure. Table 34 shows that there was a greater degree of tenseness reported by wards at the end of three months. However, the difference is relatively small. There was some variation between the five halls but because of the small number of respondents on each unit it is difficult to draw any meaningful conclusions.

TABLE 34
WARD PERCEPTIONS OF EMOTIONAL CLIMATE OR TONE ON HALL

Tone	After 1 Month N=41		After 3 Months N=33	
	Number	Percent	Number	Percent
More relaxed than tense*	28	68.3	18	54.5
More tense than relaxed	13	31.7	15	45.5

* The original question asked for a response on a four-point scale ranging from tense/uptight through very relaxed. Because of the small number of respondents this was dichotomized into the above two categories.

Both wards and staff were asked to consider whether or not there had been any change in ward/staff relations since the introduction of the Grievance Procedure. The same halls and the same time span mentioned previously was used. Well over

half of both wards and staff reported there had been no change. Where change was noted, wards tended to see relationships moving in a negative direction more often during the later time period than before. With staff there was little change between the two periods.

TABLE 35
WARDS AND STAFF PERCEPTIONS OF CHANGE IN WARD/STAFF RELATIONS
SINCE THE INTRODUCTION OF THE WARD GRIEVANCE PROCEDURE

Change	Wards				Staff			
	After 1 Month N=41		After 3 Months N=33		After 1 Month N=27		After 3 Months N=34	
	No.	%	No.	%	No.	%	No.	%
No change	25	61.0	19	57.6	18	66.7	21	61.8
Positive change	10	24.4	6	18.2	7	25.9	9	26.5
Negative change	3	7.3	5	15.2	2	7.4	3	8.8
Other	3	7.3	3	9.1	0	0.0	1	2.9

Because of the possibility that the Grievance Procedure could cause some change in how groups of wards interacted with each other, this question was put to staff. As can be seen in Table 35, both early and later in time, better than three-fourths of those questioned thought there had been no change. Where change was noted, after one month staff saw it as largely positive in nature. After three months, little can be said because of the large number of staff not responding to the question.

TABLE 36
STAFF PERCEPTIONS OF CHANGES IN GROUP INTERACTIONS
SINCE INTRODUCTION OF GRIEVANCE PROCEDURE

Change	After 1 Month N=27		After 3 Months N=34	
	Number	Percent	Number	Percent
No change	21	77.8	27	79.4
Positive change	5	18.5	2	5.9
Negative change	1	3.7	1	2.9
Other	0	0.0	1	2.9
No answer	0	0.0	3	8.8

A final area of possible impact was tested through interviews when staff were asked to report on the most frequent or common complaint they heard from wards. Replies reported in Table 37 would indicate the Grievance Procedure did have some impact. Seemingly, with a formal procedure, wards become more conscious of policy issues or at least raise them more often with staff. The percentage of staff reporting this to be the most common complaint doubled.

TABLE 37
TREATMENT TEAM STAFF PERCEPTIONS OF MOST FREQUENT WARD COMPLAINT

Complaint	After 1 Month N=27		After 3 Months N=34	
	Number	Percent	Number	Percent
Policy issues	4	14.8	11	32.4
Behavior Modification Issues	8	29.6	6	17.6
Activities/Programs	7	25.9	6	17.6
Staff related	7	25.9	5	14.7
Other	1	3.7	6	17.6

The following three tables pertain to several areas of hall social climate as measured by a questionnaire administered on a pre-post basis to wards on four halls. The first table displays data on ward attitudes toward staff. The second table shows ward responses in regard to perceived staff orientation toward wards. The third table concerns responses from wards to a question regarding tensions with the living units.

Table 38 concerns ward attitudes toward staff and consists of a summation scale followed by the five component items of this scale.

TABLE 38
SOCIAL CLIMATE QUESTIONS REGARDING WARD ATTITUDES TOWARD STAFF

Questions	N=61			
	Pre		Post	
	No.	%	No.	%
Summation scale: Ward attitudes towards staff.				
Positive	67	27.5	72	29.5
Neutral	76	31.1	79	32.4
Negative	101	41.4	93	38.1
How well do you feel hall staff understand your problems and needs?				
Understand usually, or sometimes	33*	54.1	36*	59.0
Don't understand, or almost never understand	28	45.9	25	41.0
Do you think staff on your hall are "just working a shift", or do they really care what happens to you?				
Really care	5	8.2	6	9.9
"Just working shift"	37	60.7	34	55.7
Don't know	19	31.1	21	34.4
How well do you personally like most of the staff on your hall?				
Very much, or pretty much	17	27.9	21	34.4
So-so	29	47.5	28	45.9
Not much, or not at all	15	24.6	12	19.7
How many staff on your hall take a personal interest in the individual wards?				
All, or most of them	12	19.7	9	14.7
About half of them	10	16.4	17	27.9
A few, or none of them	39	63.9	35	57.4

* Pre-post change is significant at .10 level based on two-tailed sign test.

The summation scale of the five component items shows a positive shift in wards attitude toward staff when questioned after four months of using the new procedure. This is evident by an 8% increase in positive responses and an 8% decrease in negative responses. This shift is statistically significant.

The first component item of the summation scale shows a 9% increase from pre- to post in wards feeling that hall staff understand their problems and needs. Of the wards sampled, almost 60% felt this way after four months use of the new procedure. The second item reveals little pre- to post change with regard to the question - do staff "really care" what happens to wards. Item three shows a 23.5% increase in wards saying they like staff. This was accompanied by a 20% decrease in wards responding in the negative. The last item concerning how many staff take a personal interest in individual wards reveals a 70% increase from pre- to post in the response category of "About half of them". After four months use of the new procedure, fewer wards responded "all, or most of them" or "A few, or none of them".

Shown in Table 39 are two further aspects of social climate: a) wards perceptions of staff orientations toward wards; and b) wards responses concerning staff and ward relationships on the hall.

The first item of Table 39 shows a high proportion of the wards questioned, approximately 60%, viewed staff on their hall as "treatment" orientated (based on wards saying staff generally see a ward on the hall as a "person who made a mistake" and a "person who needs help to straighten out). However, after four months use of the new procedure, this decreased slightly by 4.9%.

TABLE 39

SOCIAL CLIMATE QUESTIONS REGARDING PERCEIVED STAFF ORIENTATIONS TOWARD WARDS

Questions	N=61			
	Pre		Post	
	Number	Percent	Number	Percent
How do you think staff on your hall see a ward?				
A person who made a mistake	14	23.0	10	16.4
A person who needs help to straighten out	24	39.3	25	41.0
A delinquent	8	13.1	13	21.3
A criminal	2	3.3	5	8.2
A person who needs to be punished ...	13	21.3	8	13.1
How do you see staff/ward relationships on your hall?				
Staff are pretty fair with wards	23	37.7	20	32.8
Staff are not harsh enough	8	13.1	7	11.5
Staff are pretty unconcerned	22	36.1	19	31.1
Staff are too harsh	8	13.1	15	24.6

The pattern of responses to the second item reveals a pre- to post shift in a greater number of wards perceiving "Staff are too harsh". Responses to the other categories decreased while responses to the above mentioned increased by 11.5%.

An additional factor of social climate is dealt with in Table 40; namely, ward perceptions of the degree of tension versus relaxed feeling on their hall.

TABLE 40

SOCIAL CLIMATE QUESTIONS REGARDING TENSION ON THE HALL

Question	N=61			
	Pre		Post	
	Number	Percent	Number	Percent
How much tension or how much relaxed feeling is there on your hall?				
Pretty relaxed, or kind of relaxed ..	45*	73.8	39*	63.9
Tense, or somewhat tense	16	26.2	22	36.1

* Pre-post change is significant at .01 level based on two-tailed sign test.

The data reveal that after four month's use of the new Procedure wards perceived a greater degree of tension on the hall. There is a statistically significant increase in wards saying the social climate on the hall is "tense, or somewhat tense". However, it should be noted that the majority of wards questioned (over 60%) felt hall atmosphere was "pretty relaxed, or "kind of relaxed".

In Summary, interview items show some perceived increasing tensions on the halls during the three month period. However, most agreed that the Grievance Procedure had not affected ward/staff relations or group interactions. However, there is possible evidence that the Procedure did change the nature of wards complaints - increasing their concern over policy issues.

Questionnaire items dealt with in the preceding tables cover three general areas

relating to ward perception of social climate on the halls. One of the areas, ward attitude toward staff, shows a pre-post change in the direction of a more positive social climate. However, two of the areas (ward perception of staff orientation toward wards and relaxed feeling versus tension on the hall) show a pre-post change in the direction of a more negative social climate. Interestingly enough, it appears after four months use of the Grievance Procedure, wards increased in their positive attitude toward staff; however, they felt staff were harsher, less treatment orientated and greater tension existed on their hall.

STAFF REACTION

To determine staff reaction to the Ward Grievance Procedure, a sample of all staff having direct contact with wards at Holton were interviewed. This included three main occupational groupings - Treatment Team Staff (Treatment Team Supervisors, Social Workers, Senior Youth Counselors, and Youth Counselors), Teachers, and Security Staff. The latter two groups were interviewed at one point in time only - approximately six months after the Procedure had been introduced on the first two halls. With the exception of the staff from the first two halls using the procedure, all Treatment Team Staff were interviewed twice - once after approximately one month's exposure to the system on their hall and again after three to four months use.

Staff were asked to respond to a variety of questions dealing with ward complaints, training received for the new Grievance Procedure, ward and staff reaction to it, perceived impact, evaluations and suggestions for improvement. Material gathered from these interviews which parallels similar data from ward interviews is generally reported in the preceding sections. Material unique to the staff is contained in this section.

As a prelude to questioning about the functioning of the new Procedure, Treatment Team staff were asked two questions dealing with complaint resolution by wards prior to introduction of the formal system. As can be seen in Table 41, most saw wards as previously coming to hall staff with complaints. Other channels such as going directly to the Superintendent or discussion in Large Group Meetings were relatively ignored.

When asked if complaints had been resolved using the old system, almost half of

those talked to thought that generally they had been. However, there was an equally sizeable group who thought resolution occurred only "sometime" or "seldom".

TABLE 41
COMPLAINT RESOLUTION PRIOR TO GRIEVANCE PROCEDURE

Question	Treatment Team Staff N=36*	
	Number	Percent
	Before Grievance Procedure, what did wards do?	
Went to staff	28	77.8
Went to Superintendent	3	8.3
Discussed Large Group	3	8.3
Other	1	2.8
No answer	1	2.8
Were complaints resolved?		
Generally yes	17	47.2
Sometimes	13	36.1
Seldom	4	11.1
No answer	2	5.6

* Asked of staff on a pre- basis only (27) except on the two halls interviewed on a post basis only (9).

After at least some exposure to the Grievance Procedure, a sample of all staff were asked to consider the necessity for a formal grievance system at Holton. As can be seen in Table 42, a very large number (86%) felt that a new way of formally dealing with ward complaints was needed. This feeling was universal among the teachers and nearly so among respondents of the other two occupational groupings. A further analysis showed that this belief held constant among those Treatment Team staff queried both early in their exposure to the Procedure and again after working with it for at least three months.

TABLE 42
WAS A FORMAL GRIEVANCE PROCEDURE NECESSARY

Response	Total Staff N=51		Treatment Team Staff N=34		Teachers N=10		Security N=7	
	No.	%	No.	%	No.	%	No.	%
Yes	44	86.3	28	82.3	10	100.0	6	85.7
No	7	13.7	6	17.6	-	-	1	14.3

Since considerable effort had been made to disseminate information among staff about the Grievance Procedure and train those directly involved in its use, several questions were asked in this area. 44 of the 51 staff interviewed (87%) said they had received written procedures detailing how the system was to function. Four of the seven stating they had not received such written material were from the Security section.

Since the primary training effort had been with Treatment Team staff, only they were asked to evaluate this activity. As can be seen in Table 43, well over half (63%) of those questioned during the initial interview felt the training to be adequate. However, this slipped to less than half at the time of the second interview. The reason for this decline may be reflected in the answer to the next question which asked the extent to which there had been "follow-up training". Two-thirds of those responding reported very little or no opportunity for such training.

TABLE 43
TREATMENT TEAM STAFF REACTION TO TRAINING

Questions	Pre N=27		Post N=34	
	Number	Percent	Number	Percent
How adequate was your training?				
Adequate	17	63.0	14	41.2
Inadequate	9	33.3	18	52.9
Other	1	3.7	2	5.9
No answer	-	-	-	-
What opportunity has been given for follow-up training?				
Some	9	33.3	7	20.6
Very little	7	25.9	16	47.1
None	11	40.7	10	29.4
No answer	-	-	1	2.9
Suggestions for improvement of training.				
More "how to"	3	11.1	9	26.5
Background	6	22.2	5	14.7
More extensive	10	37.0	11	32.4
Other	2	7.4	1	2.9
No suggestions	6	22.2	8	23.5

When asked how the training could be improved, three areas were mentioned with considerable frequency. The need for more specific "how to" training was seen as increasingly important. Also, a fairly large percentage (32%) expressed a need for simply more training than had been given.

Staff were asked a series of questions designed to give insight into the impact they thought the Grievance Procedure was having. Findings are reported in Table 44. Almost all agreed there had been impact in terms of problems either solved or created. Among problems solved, three main areas were mentioned with considerable frequency; solving problems directly related to specific grievances filed, clarifying or modifying existing policies, and increasing staff "professionalism". Among Treatment Team staff, between the two points in time there were some changes. As might be expected with continued use, there was a greater ability to identify benefits. Also, the frequency with which items related to increased staff professionalism were mentioned jumped from 11% to 38%.

In reference to problems created through the introduction of the Grievance Procedure, increased time demands were mentioned by better than 40% of those interviewed. Almost a fourth also mentioned two additional areas - greater strains on ward/staff relations and an estrangement between line staff and the administration. The latter item increased considerably over time among the Treatment Team staff.

Finally, the staff were asked how many hours per week were involved with the Grievance Procedure - not just in formal hearings but in other matters directly related to the functioning of the Procedure. While many staff noted that the time spent in any given week is directly proportional to the number of grievances filed, on the average, time expended did not appear to be excessive. As might be expected, Treatment Team staff were the most involved in terms of hours spent but even here better than 50% reported an involvement of less than one hour per week. This marked a decline from the initial interviews.

TABLE 44

STAFF PERCEPTION OF JOB RELATED IMPACT OF GRIEVANCE PROCEDURE

Questions	Total Staff Post Only		Treatment Team Staff				Teachers Post Only		Security Post Only	
	N=51		Pre N=27		Post N=34		N=10		N=7	
	No.	%	No.	%	No.	%	No.	%	No.	%
What problems have been solved thru use of Grievance Procedure?*										
Specific ward problems directly related to grievance filed	15	29.4	6	22.2	10	29.4	3	30.0	2	28.6
Existing policy clarified/Improved	14	27.4	7	25.9	12	35.3	2	20.0	-	-
Staff professionalism improved ..	14	27.4	3	11.1	13	38.2	1	10.0	-	-
Other	9	17.6	6	22.2	3	8.8	3	30.0	3	42.9
None	6	11.8	8	29.6	5	14.7	-	-	1	14.3
No answer	4	7.8	1	3.7	-	-	2	20.0	2	28.6
What problems have been created through the introduction of the Grievance Procedure?*										
Time demands	21	41.2	10	37.0	12	35.3	5	50.0	4	57.1
Problems related to ward/staff relations	12	23.5	6	22.2	8	23.5	2	20.0	2	28.6
Admin./staff gap	12	23.5	2	7.4	9	26.5	1	10.0	2	28.6
Other	7	13.7	4	14.8	5	14.7	1	10.0	1	14.3
None	8	15.7	7	25.9	7	20.6	-	-	1	14.3
No answer	1	2.0	-	-	-	-	1	10.0	-	-
How much of your time each week is spent with Grievance Procedure?										
One hour or less	34	66.7	9	33.3	18	52.9	9	90.0	7	100.0
2-3 hours	12	23.5	14	51.9	11	32.6	1	10.0	-	-
4-5 hours	3	5.9	2	7.4	3	8.8	-	-	-	-
6-7 hours	-	-	-	-	-	-	-	-	-	-
8 or more	1	2.0	2	7.4	1	2.9	-	-	-	-
No answer	1	2.0	-	-	1	2.9	-	-	-	-

*More than one category per respondent is possible, therefore responses do not equal total number of staff interviewed.

A final series of questions dealt with reaction to the functioning of the new system. An essential element of the Grievance Procedure is the definition of what may be grieved. As established, this definition is broad - covering virtually all types of complaints that a ward might have, excluding only those about which the Youth Authority administration had no direct control. The staff were asked in effect to evaluate their satisfaction with this definition or to suggest an alternative. As can be seen in Table 45, the greatest number of respondents (45%) would retain the present definition. A somewhat smaller group (24%) would like to see the definition broadened to the extent that the system would be open to complaints by both wards and staff. 16% of those interviewed would have restricted the definition to any "significant" complaint - thus avoiding dealing with "petty" issues. Between occupational groupings, there was little dramatic difference. Treatment team staff were the most inclined to go along with the present definition. Over time, there was little if any change among Team staff.

When asked to evaluate the extent to which grievances dealt with substantive issues, many (47%) felt that some grievances dealt with important issues while other grievances did not. There was also a number (30%) who felt most complaints were only "marginal" in terms of content, but only 4% felt them to be "frivolous". Among occupational groups, Treatment Team staff tended to doubt the significance of the grievances filed to a greater degree than did either the teachers or Security personnel.

Finally, the staff were asked to make an overall evaluation of the usefulness of the Procedure and to suggest improvements. As can be seen, the majority of staff (71%) felt the new Procedure to be at least fairly useful as a means of resolving

TABLE 45

STAFF REACTION TO FUNCTIONING OF WARD GRIEVANCE PROCEDURE

Questions	Total Staff Post Only		Treatment Team Staff				Teachers Post Only		Security Post Only	
	N=51		Pre N=27		Post N=34		N=10		N=7	
	No.	%	No.	%	No.	%	No.	%	No.	%
Which definition of a grievance do you feel would best suit the needs of the Grievance Procedure?										
Any complaint	23	45.1	15	55.6	18	52.9	3	30.0	2	28.6
Any complaint of both wards and staff	12	23.5	3	11.1	6	17.6	3	30.0	3	42.9
Any significant complaint	8	15.7	3	11.1	4	11.8	4	40.0	-	-
Other	8	15.7	6	22.2	6	17.6	-	-	2	28.6
How would you categorize the type of grievances filed thus far?										
For the most part deal with Important issues	7	13.7	6	22.2	5	14.7	1	10.0	1	14.3
Some do - some don't	24	47.1	10	37.0	14	41.2	7	70.0	3	42.9
Most have only marginal merit	15	29.4	10	37.0	13	38.2	-	-	2	28.6
For the most part, frivolous	2	3.9	1	3.7	2	5.9	1	10.0	-	-
Other	2	3.9	-	-	-	-	1	10.0	1	14.3
How would you evaluate the overall usefulness of the Grievance Procedure?										
Generally useful	15	29.4	8	29.6	11	32.4	4	40.0	-	-
Fairly useful with some improvement needed	21	41.2	9	33.3	11	32.4	5	50.0	5	71.4
Poor system needing considerable improvement	6	11.8	1	3.7	6	17.6	-	-	-	-
Bad system which should be dropped	2	3.9	2	7.4	1	2.9	-	-	1	14.3
Other	2	3.9	-	-	2	5.9	-	-	-	-
No answer	5	9.8	7	25.9	3	8.8	1	10.0	1	14.3
How could the system be improved?*										
Modify procedure	26	51.0	8	29.6	19	55.9	3	30.0	4	57.1
Increase training	16	31.4	3	11.1	9	26.5	6	60.0	1	14.3
Provide time relief for staff	5	9.8	4	14.8	4	11.8	1	10.0	-	-
Other change	17	33.3	8	29.6	9	26.5	4	40.0	3	42.9
Don't know	1	2.0	2	7.4	-	-	-	-	1	14.3
No change needed	4	7.8	4	14.8	4	11.8	-	-	-	-
No answer	-	-	1	3.7	-	-	-	-	-	-

* More than one category per respondent is possible, therefore responses do not equal total number of staff interviewed.

ward complaints. Less than 4% felt the system should be abandoned. Between the three groups involved, teachers tended to give a somewhat higher rating than did the others. Among Team staff, there was a sharp jump over time in the number feeling that considerable improvement in the system was needed.

When asked specifically what changes if any were needed, almost all staff felt that improvements could be made. Only four (8%) felt no changes were needed. Mentioned most often were various procedural modifications such as extending time limits for hearings, etc. As might be expected with increased familiarity coming from longer use, such suggestions by Team staff between the first and second interviews almost doubled. Also suggested with considerable frequency was the need for additional training of both wards and staff and time relief for staff. A large number of other suggestions were made which defied categorization into specific groupings and appear as "other changes".

In summary, there was almost universal agreement among staff surveyed that a formal means of dealing with ward complaints was needed at Karl Holton. When questioned about the efficacy of the old system, there was an even split between those feeling that complaints had generally been resolved and those feeling this had occurred only "sometime" or even less.

In terms of training needed for implementing the Procedure, initially, most Team staff felt it to be "adequate". However, at the time of the second interview, this had declined considerably. Possibly the reported lack of on-going or refresher training could have contributed to this.

The impact of the Procedure is seen as both positive and negative according to nearly all staff. Clarification of policies and enhanced staff professionalism

were two positive areas often mentioned. While time pressures were mentioned most often as a problem area, the amount of time expended by staff appeared to be declining with months of use.

In evaluating the functioning of the system, there appeared to be little discontent. Most felt it to be at least fairly useful in resolving complaints and were satisfied with the definition of a grievable matter as currently used. However, almost all felt there was room for improvement and had suggestions to make.

CONCLUSIONS AND RECOMMENDATIONS

Objective One - The Procedure can only function if wards are sufficiently knowledgeable to make use of the system and are informed of their rights under it. Testing indicated that wards were generally knowledgeable about gaining access to the system - how to file a grievance - but were less aware of the protections offered while a grievance was being processed. In addition, the degree of a ward's knowledge was influenced considerably by the length of time he had been at Holton. It would appear that to the extent that wards were knowledgeable, this was due more to experience in seeing the Procedure in operation and less to formalized training. However, this should be qualified in that the initial training offered to wards when the Procedure was first introduced was considerably more extensive than that given wards transferred to Holton later on. Thus, the older wards had not only more extensive formalized training and also had seen the Procedure in operation over a longer period of time.

Objective Two - An effective ward/staff grievance procedure such as established at Karl Holton is costly in terms of time and effort needed to make it run. A major question is whether or not this is any more effective in dealing with complaints than the previously established less formalized system. Based on the evidence available, the answer would appear to be yes, the Ward Grievance Procedure is more effective in resolving complaints than previously existing systems. Although, at least in part, this may be due less to the overwhelming excellence of the new system than to the inadequacy of the old methods. Wards, and to a lesser degree, staff, were not convinced that complaints were dealt with by going to staff on an informal basis.

In evaluating the new system, 70% of both wards and staff thought it to be at

least fairly useful in resolving complaints. However, despite this high overall rating, satisfaction with the Procedure varied considerably from hall-to-hall. Where working well, the system was seen as highly satisfactory. In other instances, the rating was substantially lower indicating there is nothing magic about the Grievance Procedure itself.

Other factors also seemed to be operating which could keep the system from being freely utilized by all wards. Although questionnaire responses did indicate relative comfort in speaking up to staff, many wards still question the advisability of "rocking the boat". While this may be a "stock" answer to a "stock" question, fully 80% of the wards questioned felt that "playing it cool" was the best way to make it. This reflects a commonly accepted group norm of showing at least surface conformity to staff wishes as the best way to gain release. Therefore, it is not surprising that to a considerable degree wards expressed concern over staff's possible non-acceptance of their use of the system. Although in practice there appeared to be little perceived negative reaction from staff when grievances were filed, most remained unconvinced that staff are fully accepting of a ward's right to file a grievance. One result was that particularly among non-users there was a strong tendency to limit the problems about which a grievance could comfortably be filed.

It should also be noted the whole area of wards complaints about actions or problems related to their peers were not dealt with by this new system. Only 3% of all grievances dealt with peer issues. Obviously, other channels of resolution were sought.

Objective Three - To what extent did the Procedure function at Karl Holton in accordance with the pre-established principles and procedures? A second question - to what extent was it possible to follow the pre-established principles

and procedures - although unstated was also a matter of concern since the Procedure was new and untried. Based on the results from a variety of measures, it appears evident that not only are the procedures workable but that grievances were generally processed in accordance with them. 279 grievances on a wide variety of topics were handled and with only seven exceptions processed through to some form of resolution. Ward participation with staff both in establishing the system and in reviewing complaints did in fact occur. Grievants were provided with formal hearings and channels of appeal appeared to be reasonably open. Written responses were provided as required. It was only in the area of meeting self-imposed time limits that there was a serious problem. The right to a speedy resolution is seen as fundamental to the Procedure and in most cases this did occur. However, it was not at all uncommon for time limits to be exceeded and there are indications that there was little or no negative sanction for non-compliance. To a great degree wards did not know what the deadlines were and seldom exercised their right of automatic appeal to the next higher level of review if the time limit was exceeded.

Beyond all of this however, the first year's experience did prove that the spirit and intent of the Ward Grievance Procedure was feasible. Wards and staff can work cooperatively together in both developing and running a program. Wards can raise valid and reasonable issues which can in turn be met with reasonableness and openness by staff and the administration. Out of this, change can occur.

Objective Four - Regardless of the degree to which the system appears to be functioning according to established principles, of major concern is the degree to which the grievances are resolved in a manner which is satisfactory to the participants. Interviews with nearly all wards who filed grievances during a five month period indicated an almost even split between those who expressed satis-

faction with the resolution reached and those who were not satisfied. In general, satisfaction was related to the disposition. That is, if the grievant's request was granted he was satisfied with the resolution. If he was not given what he wanted then he was not satisfied. However, other factors also appeared to be important. Satisfaction was higher where the grievance was resolved at the formal hearing on the ward's hall. Satisfaction decreased when the matter had to be resolved at the Superintendent's level or where the matter was dealt with informally. When formal versus informal resolutions were compared in terms of expressed satisfaction for the grievant, there was considerable indication that a formalized approach is to be favored.

Where the ward was dissatisfied, he had the option of appealing the decision. This was not done 68% of the time. Where not done, this was often because there was no expectation that it would do any good. This attitude appears to be more rooted in the past than the present since some appeals did result in change.

Despite such problems, the overall perception of both wards and staff was that grievances would be resolved fairly and adequately using the new system. It was only among those wards who had not used the system that there was appreciable doubt as to the efficacy of the Procedure.

Objective Five - Of major importance was the impact which the introduction of the Grievance Procedure had on social climate and related factors within the living units at Karl Holton. While difficult to determine with great certainty because of the variety of intervening variables operating at the institution during the time period in question, there are strong indications of substantial impact in some areas. However, in other areas, there appeared to be no appreciable impact.

Very early, concern was expressed about the possible derisive potential the Grievance Procedure could have on ward/staff relations if the system were to take on a "we win - you lose" orientation. This does not seem to have occurred. Questionnaire responses of wards indicate that staff are seen more positively than before. When questioned directly about possible changes in ward/staff relations, most wards and staff felt there had been no change but where change was noted it was primarily in a positive direction. Furthermore, there is no indication that wards used the system to "attack" staff. In fact, only a very small number of grievances (12%) concerned actions taken by staff.

However, wards also reported seeing staff as harsher and less treatment oriented. In addition there was a tendency to see the social climate as more tense after three months of use of the Procedure than before. One possibility may be that these items merely reflect heightened awareness and critical stance toward the environment by wards brought about by a formalized and effective way of making complaints known. Certainly wards did become more aware of policy issues as evidenced by the large number of complaints filed in this area and staff's reporting of an upswing in the extent to which wards complained about such issues. In light of this, it would appear that administrators should be aware of this potential and be prepared to deal with it as a formal grievance procedure as instituted.

In terms of group relations on the halls, there is no evidence of observable impact. Staff observations were that there had been no change. In addition, the system was primarily used by individuals and only rarely by groups to deal with common concerns.

When interviewed, staff did note some additional impact for them in several

areas. On the negative side, the Procedure was seen as time consuming and another burden on an already overburdened staff. On the positive side, many thought the Procedure had clarified or changed existing policies for the better and, at least in the eyes of some, had increased staff professionalism as they did their jobs.

RECOMMENDATIONS

- 1) Training of wards and staff be increased - both for new arrivals and through periodic maintenance. Both wards and staff saw this as a need and testing of wards affirmed the correctness of the observation. Particular attention should be paid to informing wards of their rights under the system as data shows this area to be particularly weak.
- 2) Every effort be made to elicit active support of the Grievance Procedure by line staff - and that this support be communicated to wards. Since wards are concerned about staff's reaction and are influenced by it, an open grievance system requires that wards be convinced there will be no negative consequences for its use.
- 3) An effective internal monitoring system be established to ensure compliance to principles and procedures (particularly time limits) and help guarantee a high level of functioning on all halls. At present, there are strong indications of uneven performance, acceptance, and resultant satisfaction for participants. This has the pragmatic effect of closing the Procedure to some wards.
- 4) The use of informal resolution be subjected to increased monitoring and control. To a large extent controls have been tightened in the last few months subsequent to the collection of data reflected in

this report. Findings in follow-up studies will hopefully reflect the change. While the Grievance System is "to supplement, not replace, existing informal channels of resolving grievances"¹, the informal system appears to be substantially less able to yield satisfactory resolutions than does the formal system.

¹Training Bulletin - Ward Grievance Procedure, Karl Holton School, August 9, 1974.

APPENDICES

APPENDIX I
GRIEVANCE PROCEDURE PRINCIPLES

PRINCIPLES
WARD GRIEVANCE PROCEDURES
CALIFORNIA YOUTH AUTHORITY

PURPOSE

The purpose of the formal grievance procedure is to ensure that ward grievances or complaints are given opportunity for full and fair hearing, consideration, and resolution. The formal grievance procedure is intended to supplement, not replace, existing informal channels of resolving grievances.

Every ward shall have the right to use the grievance procedure developed within his program unit and have easily available to him the means to file a grievance.

DEFINITION

A grievance is a complaint about the substance or application of any written or unwritten policy of the California Youth Authority or any of its program units, or a complaint about any behavior or action directed toward a ward by staff or other wards. Complaints about actions or policies of other agencies, which exercise jurisdiction over wards pursuant to contractual relationships with the Youth Authority, are within the grievance procedure. Complaints about actions or policies of the Youth Authority Board are within the grievance procedure only if they involve matters delegated to the Board by the Director. Matters under the Board's jurisdiction by statute are not within the grievance procedure unless the Board so elects.

PRINCIPLES

The following principles describe the elements essential to any procedure introduced into a program unit:

1. There shall be participation by elected wards and by staff in the design, development and operation of the grievance procedure adopted in each program unit.
2. A ward with an emergency grievance or problem shall have available a course of action which can provide redress within a relatively immediate time.
3. The procedure must provide for levels of review, which shall be kept to a minimum. These levels, ideally, should coincide with the major decision-making levels of the program unit's organization. Any party to a grievance, ward or staff, may appeal a decision.

4. At some level a full hearing must be conducted, and all parties to the grievance must be given an opportunity to be present and to participate in said hearing.
5. A ward shall be entitled to select a representative from among other wards, staff, or volunteers regularly participating in the program unit. Said representatives shall be entitled to attend and participate in any informal conferences, hearings or reviews in which the ward participates.
6. Reasonably brief time limits shall be established for the receipt of said responses and for any action which must be taken to put a response into effect. All responses to a written grievance shall be in writing with reasons for action taken. Lack of a written response or failure to complete action within the required time periods shall entitle the ward to proceed to the next level of review.
7. The final review shall be an independent review by a party or parties outside the Youth Authority.
8. The grievance procedure itself shall be used to determine whether a specific complaint falls within the procedure.
9. No reprisals shall be taken against anyone using or participating in the grievance procedure.
10. There shall be monitoring and evaluation of all procedures, their operation and their decisions.

QUESTIONNAIRE ON WARD GRIEVANCE PROCEDURE

Your Name _____

Hall _____

Date _____

How long have you been on your present hall? _____ months.

How long have you been at Karl Holton? _____ months.

These questions are to help find out how much wards at Holton know about the Grievance Procedure. Your answers to these questions will be used by the Youth Authority Research Division in Sacramento as part of a report on how the Procedure is working.

Your answers to this questionnaire will not affect your program at Karl Holton in any way. However, it is important that you do the best you can. If you want to find out how you did, check the box at the bottom of this sheet and we will let you know.

We appreciate your help and cooperation in this project.

Check here if you want to find out how you did.

- 1) Can a ward file a grievance concerning a hall rule? (check one)
 1. Yes
 2. No
 3. Don't know

- 2) Can a ward file a grievance against decisions made by the Youth Authority Board? (check one)
 1. Yes
 2. No
 3. Don't know

- 3) Can a ward file a grievance because he did not get full credit for points earned? (check one)
 1. Yes
 2. No
 3. Don't know

- 4) Can a ward file a grievance against a DDMS decision to take away a day pass? (check one)
 1. Yes
 2. No
 3. Don't know

- 5) Can a ward file a grievance against a rule made by the Director of Youth Authority? For example, if he were to restrict mail to one letter a week? (check one)
 1. Yes
 2. No
 3. Don't know

- 6) A ward normally first files his grievance with: (check one)
 1. Superintendent
 2. Treatment Team Supervisor
 3. Counselor
 4. Ward Clerk
 5. Don't know

- 7) How much time does a ward have to file a grievance after the incident happens? (check one)
 1. 12 hrs.
 2. 36 hrs.
 3. 48 hrs.
 4. 72 hrs.
 5. Don't know

CONTINUED

1 OF 2

- 1) Can a ward file a grievance concerning a hall rule? (check one)
 1. Yes
 2. No
 3. Don't know
- 2) Can a ward file a grievance against decisions made by the Youth Authority Board? (check one)
 1. Yes
 2. No
 3. Don't know
- 3) Can a ward file a grievance because he did not get full credit for points earned? (check one)
 1. Yes
 2. No
 3. Don't know
- 4) Can a ward file a grievance against a DDMS decision to take away a day pass? (check one)
 1. Yes
 2. No
 3. Don't know
- 5) Can a ward file a grievance against a rule made by the Director of Youth Authority? For example, if he were to restrict mail to one letter a week? (check one)
 1. Yes
 2. No
 3. Don't know
- 6) A ward normally first files his grievance with: (check one)
 1. Superintendent
 2. Treatment Team Supervisor
 3. Counselor
 4. Ward Clerk
 5. Don't know
- 7) How much time does a ward have to file a grievance after the incident happens? (check one)
 1. 12 hrs.
 2. 36 hrs.
 3. 48 hrs.
 4. 72 hrs.
 5. Don't know

- 8) The hall "review" committee which first hears your grievance includes: (check one)
 1. Wards only
 2. Staff only
 3. Both wards and staff
 4. Only outside volunteers
 5. Don't know
- 9) A ward and his representative have the right to be present at the hall "review" committee meeting: (check one)
 1. Always
 2. Sometimes
 3. Never
 4. Don't know
- 10) If a ward is not satisfied with the resolution reached by the hall "review" committee, he can appeal it if: (check one)
 1. Grievance clerk says it's O.K. to appeal
 2. Staff say it's O.K. to appeal
 3. Ward wants to appeal
 4. Both ward and staff say it's O.K. to appeal
 5. Don't know
- 11) If a ward appeals a decision by the hall "review" committee, he must do it within: (check one)
 1. 12 hrs.
 2. 48 hrs.
 3. 60 hrs.
 4. 72 hrs.
 5. Don't know
- 12) If a ward appeals a decision by the hall "review" committee, the decision at the next level will be made by: (check one)
 1. Senior Youth Counselor
 2. Treatment Team Supervisor
 3. Superintendent
 4. Outside Arbitrator
 5. Don't know
- 13) If a response to a ward's grievance is not received from the hall "review" committee within a certain length of time, he can: (check one)
 1. Forget it
 2. Talk to staff
 3. File new grievance
 4. Automatically appeal to the next highest level
 5. Don't know

14. What is the name of the grievance clerk on your hall? _____

Don't know

15. If a ward is not satisfied with a decision made by the Superintendent, he can: (check one)

- 1. Do nothing about it.
- 2. Appeal to outside arbitrator
- 3. Take it back to level 1 review
- 4. Don't know

16. The hall "review" committee must respond to a ward's grievance within: (check one)

- 1. 4 working days
- 2. 5 working days
- 3. 6 working days
- 4. 7 working days
- 5. Don't know

Name _____
First Middle Initial Last

Hall _____

Date _____

1. When you have a beef about something here on the hall, who would you go to first for advice? (check only one)

- Youth counselor
- Social worker
- Treatment Team Supervisor
- Teacher
- Another ward
- No one

2. How well do you feel that your hall staff understand your problems and needs? (check only one)

- They usually understand
- They sometimes understand
- They don't usually understand
- They almost never understand

3. Do you think that staff on your hall are just "working a shift" or do you think they really care what happens to you? (check only one)

- They really care
- They're just "working a shift"
- Don't know

4. How many times in the last two weeks have you talked to a counselor on your hall about yourself seriously for at least a few minutes? (check only one)

- Not at all
- Once or twice
- Several times

5. How well do you personally like most of the staff on your hall? (check only one)

- Very much
- Pretty much
- So-so
- Not much
- Not at all

6. How many staff on your hall take a personal interest in the individual wards? (check only one)

- All of them
- Most of them
- About half of them
- A few of them
- None of them

7. How do you think staff on your hall see a ward? (check only one)

- A person who made a mistake
- A delinquent
- A criminal
- A person who needs help to straighten out
- A person who needs to be punished

8. How do you see the staff-ward relationships on your hall? (check only one)

- Staff are too harsh with the wards
- Staff are pretty fair with the wards
- Staff are not harsh enough with most wards
- Staff are pretty unconcerned about the wards

9. Do you feel that: (check only one)

- Your relationships with staff are better than you expected
- Your relationships with staff are worse than you expected
- Your relationships with staff are about what you expected

10. Do you feel that: (check only one)

- Staff relationships with each other are smooth.
- Staff on the hall work well together as a team
- Staff don't get along with each other very well

11. What is your opinion of the other wards on your hall? (check only one)

- Drifting through, just waiting to get out
- Putting up a front and pretending the "program" is helpful
- Actually trying to change and to help themselves

12. What do you think about this place? (check only one)

- A lot better than I expected
- Better than I expected
- Worse than I expected
- A lot worse than I expected

13. Do you feel that: (check only one)

- Your relationships with other wards are better than you expected
- Your relationships with other wards are worse than you expected
- Your relationships with other wards is about as you expected

14. Do you have trouble getting along with the wards on your hall? (check only one)

- Yes, a lot
- Yes, quite a bit
- Yes, some
- No, not much

15. Do you usually hang around here at Karl Holton with: (check only one)

- Four or more wards
- 2 or 3 wards
- Only one ward
- No one

16. Most institutions have different groups of wards who stick closely together and don't have much to do with any other groups. About how many groups like that does your hall have? (check only one)

- Four or more
- Two or three
- Only one
- None

17. Please check by order of importance the reasons why a group forms itself and sticks together. (rank 1 through 5.)

- Geographical ("homies")
- Same race
- Rebels against the "establishment"
- Special groups, such as "low-riders", "nazis", "hypes"
- Special common interests, like music, sports, hobbies, etc.

18. Please mark one choice which most closely describes how much tension or how much relaxed feeling there is on your hall:

- Tense, uptight - everyone nervous most of the time
- Somewhat tense - possibility of fights often
- Kind of relaxed - only a few beefs
- Pretty relaxed - not much nervousness

19. Do the other wards on your hall make it hard or easy for you to follow the rules? (check only one)

- Very hard
- Hard
- Easy
- Very easy

Name _____

First

Middle Initial

Last

Hall _____

Date _____

1. Do you feel at ease about expressing complaints to most staff on your hall? (check only one)

Always Often Sometimes Not usually Never

2. A ward's willingness to express complaints may depend on different things. How much do you think you're influenced by:

	a lot	some	none
a. Other wards looking down on you for complaining.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Staff resorting to you for complaining.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Possible loss of privileges for complaining.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Not getting a square deal because of complaining.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Staff might see complainers as weak.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Hard for me to speak out to staff.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Playing it quiet and "cool" is the best way to make it.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. How do most staff usually treat wards who complain about rules and conditions on the hall? (check only one)

- They listen and try to help
- They mostly just listen
- They try not to listen
- They refuse to listen

4. I feel that complaining or trying to change rules or hall conditions is: (please check "yes" or "no" for each item)

	Yes	No
a. A hassle	<input type="checkbox"/>	<input type="checkbox"/>
b. O.K. because there's not much to lose.....	<input type="checkbox"/>	<input type="checkbox"/>
c. Not worth getting staff uptight.....	<input type="checkbox"/>	<input type="checkbox"/>
d. Likely to make me a "nack"	<input type="checkbox"/>	<input type="checkbox"/>
e. Too hard to understand how to do.....	<input type="checkbox"/>	<input type="checkbox"/>
f. Worth the trouble	<input type="checkbox"/>	<input type="checkbox"/>
g. Something other wards can do if they want to.....	<input type="checkbox"/>	<input type="checkbox"/>

5. Do you think most of the other wards on your hall feel comfortable in expressing complaints about the way things are done on your hall? (check only one)

Most of the time Sometimes Not usually Never

6. How important do you think most of the beefs are that wards have now on your hall? (check only one)

- Very important
- Fairly important
- Not very important
- Not worth bothering about

7. Please think about conditions on your hall and the beefs that wards have had over the past few months. In general, would you say that:

a. Most ward complaints now are: (check only one)

- Worked out pretty well
- Worked out somewhat
- Not worked out at all
- Usually ignored

b. How much do you think most of the staff on your hall care about working out successful solutions to ward complaints? (check only one)

Very much Somewhat A little Not at all

c. How much have ward complaints on your hall resulted in: (check one for each item)

	Many	Some	A few	None
1) Changes in rules or policies?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) Changes in ward assignments?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3) Changes in ward contracts?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4) Other changes of casework decisions?..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5) Changes in staff discipline methods?..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. Have you heard from anyone before today that there is to be a new Ward Grievance Procedure here at Karl Holton? yes no

If you have, when did you first hear about it?

- a few days ago 3 or 4 weeks ago
- 1 or 2 weeks ago more than a month ago

9. If you have heard about the new Grievance Procedures, please answer the following questions about it:

a) Will wards be allowed to file grievance against actions/decisions made by the Youth Authority Board? (check one only)

- yes no don't know

b) How much time does a ward have to file a grievance after the occurrence of an event he wishes to complain about? (check one only)

- 12 hrs. 24 hrs. 36 hrs. 48 hrs.
- 60 hrs. 72 hrs. don't know

c) Under the new procedures, a ward normally first files his grievance with: (check one only)

- Superintendent Treatment Team Supervisor Counselor
- Social Worker Ward clerk Don't know

d) How many "levels of review" are possible in the new system? (check one only)

- one two three four don't know

e) A "review" committee will include: (check one only)

- wards only staff only both wards and staff
- only outside volunteers don't know

f) Can a ward file a grievance against another ward? (check one only)

- yes no don't know

g) Can a grievance be filed by a group of wards or only by one individual ward? (check one only)

- group individual either don't know

h) Independent reviews will be handled by the American Arbitration Society: (check one only)

- true false there is no such thing don't know

10. When the new Ward Grievance Procedures begin, do you think that:

a) Most ward grievances will be: (check only one)

- worked out well
- worked out somewhat
- not worked out well
- worked out badly

b) How much will staff care about the successful working out of ward grievances? (check only one)

- very much somewhat a little not at all

c) When a grievance successfully results in changes of rules/policies, will those changes last after you are paroled? (check one only)

- definitely probably probably not no

d) Will the new procedures: (check one for each item)

Improve ward relationships?

- yes, a lot yes, some a little not at all

Improve ward-staff relationships?

- yes, a lot yes, some a little not at all

11. Following is a list of some of the possible grievances which might be filed by wards, under the new Ward Grievance Procedures. Please check the appropriate column for each item, indicating whether you would consider filing each of those listed below:

DAY-TO-DAY LIVING PROBLEMS:

	<u>Yes</u>	<u>No</u>
food served	_____	_____
clothing issued	_____	_____
unit or institution rules or policies	_____	_____
recreation/athletic opportunities	_____	_____
sex pressure from another ward/wards.	_____	_____
other pressure received by another ward/wards	_____	_____
smoking restrictions.	_____	_____
dining hall rules	_____	_____
"lights out" time	_____	_____
loudness - noise level on unit.	_____	_____
checks.	_____	_____

OTHER: (please write in other day-to-day living problems which you feel could/should result in grievances filed)

CASEWORK DECISIONS: (that you object to)

	<u>Yes</u>	<u>No</u>
decisions about my case by staff team	_____	_____
contracts decided for me by staff	_____	_____
academic goals set for me	_____	_____
change in school or work assignment	_____	_____
being urged to attend or join special groups.	_____	_____
not being allowed to form or join a special group	_____	_____
too much staff concern about my personal family	_____	_____
staff failure to keep my case confidential.	_____	_____
staff interfering in my family relationships.	_____	_____

OTHER: (please write in other possible grievances in regard to casework decisions)

UNIT-STAFF DISCIPLINE:

	<u>Yes</u>	<u>No</u>
restriction from program.	_____	_____
a "bum" write-up.	_____	_____
harsh or rude treatment	_____	_____
overcontrol of me by staff.	_____	_____
conflicts with a teacher/teachers	_____	_____

OTHER: (please write in other possible grievances about unit discipline)

12. After the formal Ward Grievance Procedure begins here, do you think you will feel comfortable filing complaints (grievances)? (check only one)

- most of the time
- sometimes
- not usually
- never

13. After the new procedure starts, do you think the other wards on your hall will feel comfortable about filing complaints (grievances)? (check only one)

- most of the time
- sometimes
- not usually
- never

14. When the new procedure begins, how do you expect staff will feel toward wards filing grievances? (check only one)

- accept it
- accept it, with some doubts
- be suspicious about it
- not want anything to do with it

15. When it comes to filing a grievance, do you think most of the wards on your hall will: (check only one)

- file whenever they feel like it
- file only if really necessary
- not file if they can help it
- not file at all

APPENDIX III
INTERVIEW SCHEDULES

Interviewer's Name _____

Ward's Name _____

Date _____

Hall _____

G P Wards
INITIAL INTERVIEW

Question 1A: What do you think about Karl Holton?

1. _____ A lot better than I expected.
2. _____ Better than I expected.
3. _____ Worse than I expected.
4. _____ A lot worse than I expected.

Question 1B: Why do you feel that way?

Question 2A: What's the best thing that happened on your hall the last couple of months?

Question 2B: Any other good things happen on your hall the last couple of months?

Question 2C: What would you say has been the major problem on your hall the last two months?

Question 2D: Have there been any other big problems?

Question 3A: How would you describe the tone on your hall now? Would you say it's:

1. _____ Tense - uptight, everyone nervous most of the time.
2. _____ Somewhat tense - possibility of fights often.
3. _____ Relaxed, only a few beefs.
4. _____ Very relaxed, not much nervousness.

Question 3B: What makes you say that?

Question 4A: Now would you think about how the program here as a whole is affecting the wards. Would you say it's helping:

1. _____ Most of them.
2. _____ Some of them.
3. _____ Few of them.
4. _____ None of them.

Question 4B: What parts of the program seem to help wards the most?

(Historical view - how were complaints handled prior to G.P.)

Question 5: Describe any complaints you've had since coming to Karl Holton.

Question 6: What did you do about your complaints? (If he says nothing, probe deeper - did he talk to staff, other wards, etc.; if ward says he filed a grievance, using the G.P., ask what he did before the G.P. started.)

Question 7: What happened?"

Question 8: How did you feel about the outcome?

Question 9: About how well would you say that staff and wards have been getting along on your hall in the last few weeks?
(Probe for quality of relationship)

Question 10A: As you know, the procedure for filing complaints, called the Grievance Procedure, is fairly new on your hall. How did you first learn about it?

Question 10B: How did you find out how the new procedure was supposed to operate? (Include who or how it was explained and how much time was involved in any training received.)

Question 11A: Have there been any changes in how well staff and wards on your hall have been getting along since the start of the Grievance Procedure?

_____ Yes _____ No

Question 11B: (If yes:) Would you explain what the changes have been?

Question 11C: Have there been any changes in how well groups of wards on your hall have been getting along since the start of the Grievance Procedure?

_____ Yes _____ No

Question 11D: (If yes:) What have been these changes?

Question 12A: Now that the procedure has started, would you feel comfortable filing:

1. _____ Most types of grievances.
2. _____ Some types of grievances.
3. _____ Few types of grievances.
4. _____ No types of grievances.

Question 12B: Will you give me some examples of grievances you would feel comfortable in filing.

Question 12C: Will you give me some examples of grievances you would not feel comfortable in filing.

Question 13A: Would you file a grievance against another ward?

_____ Yes _____ No

Question 13B: If no, why wouldn't you?

Question 14A: Under the new procedures, how do you think staff feel toward wards filing grievances?

1. _____ Accept it.
2. _____ Accept it, with some doubts.
3. _____ Are suspicious about it.
4. _____ Don't want anything to do with it.

Question 14B: What makes you say that?

Question 15A: If a ward filed a grievance today, do you think it would eventually be worked out or settled fairly?

_____ Yes _____ No

Question 15B: Would you explain why you think that?

Question 16: Do you happen to know about how many grievances have been filed on your hall?

Question 17A: Have you personally filed a grievance using the new system?

_____ Yes _____ No (If no, skip to 18)

Question 17B: If yes, what was your grievance?

Question 17C: What happened?

Question 17D: Was the hearing handled fairly in your opinion?

Question 17E: Are you satisfied with the resolution reached?

Question 18A: After a few weeks experience with the grievance procedure on your hall, how would you evaluate its usefulness?

1. _____ Generally a useful system to resolve grievances.
2. _____ A fair system that needs some improvement.
3. _____ A poor system that needs lots of improvement.
4. _____ A bad system that should be dropped or replaced by something else.

Question 18B: What makes you say that?

Question 19: How do you think the system could be improved?

Question 20A: How do you feel about the point system used here?

1. _____ Generally a good system.
2. _____ A fair system that needs some improvement.
3. _____ A poor system that needs lots of improvement.
4. _____ A bad system which should be replaced.

Question 20B: Why do you feel that way?

Question 21A: How do you feel about the contracts that are made here?

1. _____ Generally helpful.
2. _____ A fair idea that needs some improvement.
3. _____ A poor idea that needs lots of improvement.
4. _____ A bad idea that should be replaced.

Question 21B: Why do you feel that way?

Ward's name _____

Interviewer's name _____

Date _____

G.P. WARDS - INTERVIEW

Final Series

1. What's the best thing that happened on your hall in these last months?

2. Any other good things happen on your hall in these last months?

3. What would you say has been the major problem on your hall in these last months?

4. Have there been any other big problems?

5A. How would you describe the tone on your hall now? Would you say its:

1. Tense, uptight, everyone nervous most of the time.

2. Somewhat tense, possibility of fights often.

3. Relaxed, only a few beefs.

4. Very relaxed, not much nervousness.

5B. What makes you say that?

6. About how well would you say that staff and wards have been getting along on your hall in the last few weeks?

7A. Have there been any changes in how well staff and wards on your hall get along since the start of the Grievance Procedure?

Yes

No

B. If yes - would you explain what the changes have been?

9A: Using the grievance procedure, do you think you would feel comfortable filing:

- 1. Most types of grievances.
- 2. Some types of grievances.
- 3. Few types of grievances.
- 4. No grievances.

10A: Will you give me some examples of grievances you would generally feel comfortable in filing?

10B: Why?

10C: Will you give me some examples of grievances you would not feel comfortable in filing?

10D: Why?

11A: Would you file a grievance against another ward?

Yes No

11B: If no - why not?

12A. Under the Grievance Procedure, how do you think staff feel toward wards filing grievances?

- 1. Accept it.
- 2. Accept it, with some doubts.
- 3. Are suspicious of it.
- 4. Don't want anything to do with it.

B. What makes you say that?

13A. If a ward filed a grievance today, do you think it would eventually be worked out or settled fairly?

Yes No

B. Would you explain why you think that?

14. Do you know how many grievance have been filed on your hall?

15. Have you personally filed a grievance using the new system?

Yes
(go to 17)

No
(go to 16)

(If no discrete probing for reason)

16A: Suppose you have a complaint here at Karl Holton, what do you do about it?

16B: (If G.P. is mentioned, probe for reason(s) for non use).

16C: If G.P. not mentioned - ask - "Have you thought about using the Grievance Procedure?" (Probe for reason(s) why not.)

16D: If you were concerned about a mutual problem, would you along with several other wards file a joint grievance?

Yes

No (If no, why)

17A: What was your grievance and when did you file? (If more than one, pick the most recent.)

17B: How did you file your grievance and what happened?
(Interviewer - elicit info. on: with whom was grievance filed; any particular staff/ward reaction to initiating the grievance, etc.)

17C: Was there a hearing on your grievance?

Yes No

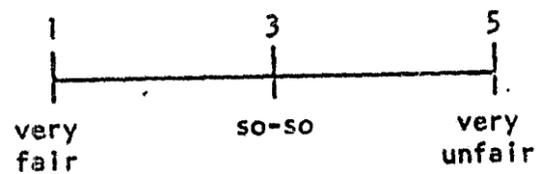
17D: If no, why was it handled without a hearing?

17E: If a hearing, did you attend?

Yes No

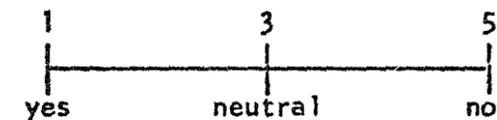
17F: If no, why not?

17G: Think a bit about the hearing and how it was handled. How fair or unfair do you think it was?



17H: What resolution was reached with your grievance?

17I: Were you satisfied with the results?



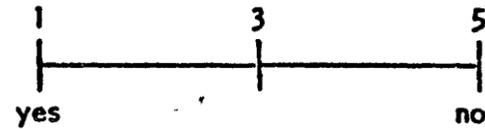
17J: If less than totally satisfied - why not?

17K: Have you appealed?

Yes No

17L: If no, why?

17M: Was the final resolution carried out to your satisfaction?



17N: If less than satisfied, why?

17O: Have you received written notice of the results of each hearing/review?

Yes No

18A: In summary, based on what you know about the grievance procedure on your hall, how useful do you think it is?

- 1. Generally a useful system to resolve grievances.
- 2. A fair system that needs some improvement.
- 3. A poor system that needs lots of improvement.
- 4. A bad system that should be dropped or replaced by something else.

18B: (If not already clear from past statements) What makes you say that?

19: How do you think the system could be improved?

REVISED STAFF INTERVIEW

NAME _____

POSITION _____

HALL _____

LENGTH OF TIME WITH YA _____

LENGTH OF TIME ON HALL _____

Name of interviewer _____

Date _____

1. Now would you think about how the program here as a whole is affecting the wards. Would you say it's helping:

- 1. _____ Most of them.
- 2. _____ Some of them.
- 3. _____ Few of them.
- 4. _____ None of them.

2. What parts of the program seem to help wards the most?

- 1. Academic
- 2. Counseling/Counselor
- 3. Beh/Mod Program
- 4. Recreation
- 5. None
- 6. Other
- 7. No answer

3. How do you feel about the point system used here?

- 1. _____ Generally a good system.
- 2. _____ A fair system that needs some improvement.
- 3. _____ A poor system that needs lots of improvement.
- 4. _____ A bad system which should be replaced.

Why do you feel that way?

- 1. Idea good, difficult to impl.
- 2. System open to manipulation.
- 3. Provides objective evaluation.
- 4. Wards know where they stood.
- 5. Insufficient training/understanding
- 6. Procedural
- 7. Other
- 8. No answer

4. How do you feel about the contracts that are made with wards here?

- 1. _____ Generally helpful.
- 2. _____ A fair idea that needs some improvement.
- 3. _____ A poor idea that needs lots of improvement.
- 4. _____ A bad idea that should be replaced.

Why do you feel that way?

- 1. Difficult to write meaningful contract.
- 2. Idea good, not used right.
- 3. Procedure needs modification.
- 4. Good way to deal w/problems.
- 5. Good idea but ward can "front".
- 6. Other.
- 7. No answer.

5A: What is the most universal or frequent complaint wards have here at Karl Holton?

- 1. Policy/Procedure
- 2. Application of P/P discipline
- 3. Beh. Mod.
- 4. Activities/Program
- 5. Food
- 6. Staff related
- 7. Other
- 8. No complaints
- 9. No answer

5B: What are some other common complaints wards have?

6A: Before the new G.P. started, what did wards usually do about their complaints?

1. Go to team staff
2. Go to supt.
3. Large group
4. Nothing
5. Other
6. No answer

6B: What happened (in terms of resolution)?

1. Generally resolved/attempted
2. Sometimes resolved/attempted
3. Seldom resolved/attempted
4. Other
5. No answer

7: Do you think a formal means of registering complaints, such as the G.P., was necessary at Kari Holton?

1. Unqualified yes
2. Qualified yes
3. Qualified no
4. Unqualified no
5. Other
6. Don't know
7. No answer

8: Do you know if the special grievance procedure for this hall has been spelled out and given to staff?

1. Yes
2. No
3. Don't know
4. Other
5. No answer

9: How adequate has been your training in the use of the G.P.?
(Specifically note extent of formal training - brief or orientation or training session of two hours for example.)

1. Adequate - happy
2. Less than adequate - unhappy
3. No training
4. Other
5. No answer

10: Do you have any suggestions as to how this training could be improved?

1. No suggestions
2. More "how to" - role playing, etc.
3. More background/rationale
4. More extensive training
5. Other
6. No answer

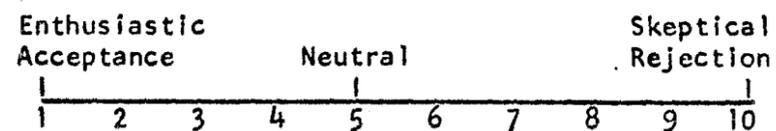
11: What opportunity has been given staff to discuss and review the G.P. since its implementation?
(Note frequency and types of staff reviews of G.P., e.g., discussion at staff meetings, refresher training, explanations, etc.)

1. None
2. Very little
3. Some
4. Much
5. Other
6. No answer

12: Consider the following definitions of grievances upon which wards could file a formal complaint. Which do you feel would best suit the needs of the G.P.?

- A. Any major or significant complaint, beef, or disagreement a ward may have against another person or persons; or complaint that a ward may have about the application of any written or unwritten policy in that he feels he has been treated unfairly or that the policy has been applied in an inconsistent coercive, or discriminatory manner. Excluded would be relatively minor or petty complaints in categories to be defined by a staff-ward committee.
- B. Any kind of complaint, beef, or disagreement a ward may have against another person or persons, or complaint that a ward may have about the application of any written policy or unwritten policy in that he feels he has been treated unfairly or that the policy has been applied in an inconsistent, coercive, or discriminatory manner.
- C. As in B except procedure would be open to both wards and staff.
- D. Any kind of complaint, beef, or disagreement a ward may have resulting in a deprivation from a right normally extended to wards in the program. Excluded would be complaints resulting from deprivation from privileges.
- E. Other, specify.

13A: How would you rate the general reaction of the wards to the new G.P. on a continuum of 1-10 from - Enthusiastic acceptance to Skeptical rejection. Please explain.



13B: What appears to be the motivation underlying this feeling?

- 1. Wards still testing - waiting to see.
- 2. Wards basically suspicious of staff.
- 3. Use improving feeling.
- 4. Gives wards say - like that.
- 5. Changing thru use - positive.
- 6. Other.
- 7. No answer.

14: Using the grievance procedure, do you think most wards would feel comfortable filing:

- 1. Most types of grievances.
- 2. Some types of grievances.
- 3. Few types of grievances.
- 4. No grievances.

15A: Will you give me some examples of grievances most wards would generally feel comfortable in filing?

- 1. Policy/Procedure
- 2. Application F/P
- 3. Program
- 4. Points/Beh Mod
- 5. Against staff
- 6. Against wards
- 7. Any
- 8. Other
- 9. No answer

15B: Will you give me some examples of grievances most wards would not feel comfortable in filing?

- 1. YAB
- 2. Staff
- 3. Wards
- 4. "Fair" policy/decision
- 5. Policy/Procedure
- 6. Other
- 7. None
- 8. Any
- 9. No answer

16A: How do most staff on your hall generally feel toward the wards filing grievances?

- 1. Accept it.
- 2. Accept it, with some doubts.
- 3. Are suspicious, some resentment.
- 4. Don't want anything to do with it.

16B: Does this feeling vary with staff position - TTS, SW, YC for example?

- 1. No
- 2. Yes - Y.C. most affected
- 3. Yes - Admin. most affected
- 4. Yes - related to individual
- 5. Yes - other
- 6. Other
- 7. No answer

17: How would you categorize the types of grievances filed thus far?

- 1. Substantive - deal with important issues.
- 2. For the most part deal with important issues, have merit.
- 3. Some are important and have merit, others not.
- 4. Most have only marginal merit.
- 5. For the most part frivolous - a waste of time to process.

18: If a ward filed a grievance today, do you think it would eventually be worked out or settled fairly and satisfactorily -

For the Ward?

For staff?

For administration?

19: Have there been any changes in how well staff and wards on your hall have been getting along since the start of the G.P.?

Yes No

If yes, explain (probe for objective indications).

- 1. Yes - positive
- 2. Yes - neutral
- 3. Yes - negative
- 4. No
- 5. Too early to tell
- 6. Other
- 7. No answer

20: Have there been any changes in how well groups of wards on your hall have been getting along since the start of the G.P.?

If yes, explain (probe for objective indications).

- 1. Yes - positive
- 2. Yes - neutral
- 3. Yes - negative
- 4. No
- 5. Too early to tell
- 6. Other
- 7. No answer

21: What, if any, problems have been solved through the implementation of the G.P.?

- 1. Changes related to grievances filed.
- 2. Clarified/improved existing policy.
- 3. Helped "shape up" staff.
- 4. New treatment approach.
- 5. Other
- 6. None
- 7. No answer

22: What, if any, problems have been created through the implementation of the G.P.?

1. Ward/Staff related.
2. Time demands
3. Administrative/line gap.
4. Other
5. None
6. No response.

23: About how much of your time in any given week is involved with the G.P.?
(Be specific - approximate hours per week.)

24A: In summary, based on your past few months experience with the grievance procedure on your hall, how would you evaluate its usefulness?

1. ___ Generally a useful system to resolve grievances.
2. ___ A fair system that needs some improvement.
3. ___ A poor system that needs lots of improvement.
4. ___ A bad system that should be dropped or replaced by something else.

24B: (If not already clear from past statements) What makes you say that?

25: How do you think the system could be improved.

1. Time relief
2. Better communication
3. Training - ward/staff
4. Modify procedure
5. Other
6. Don't know
7. No change
8. No answer

REVISED POST - STAFF INTERVIEW

NAME _____

POSITION _____

HALL _____

LENGTH OF TIME WITH YA _____

LENGTH OF TIME ON HALL _____

Name of interviewer _____

Date _____

1A: What is the most universal or frequent complaint wards have had here at Karl Holton in the last three months.

1. Policy/Procedures
2. Application of P/P
3. Points/Beh Mod
4. Staff related
5. Ward related
6. Other
7. No answer

1B: What are some other common complaints wards have?

2: Do you think a formal means of registering complaints, such as the G.P., was necessary at Karl Holton?

1. Yes
2. Qualified Yes
3. No
4. Qualified No
5. Other
6. No answer

3: After using the G.P. for some time, how adequate was your training in its use?

1. Adequate
2. Inadequate
3. Other
4. No answer

4: Do you have any suggestions as to how this training could have been improved?

1. None
2. More "how to," etc.
3. More background
4. More extensive
5. Other
6. No answer

5: What opportunity have been given staff to discuss and review the G.P. since its implementation?

(Note frequency and types of staff reviews of G.P., e.g., discussion at staff meetings, refresher training, explanations, etc.)

1. None
2. Very little
3. Some
4. Other
5. No answer

6: Consider the following definitions of grievances upon which wards could file a formal complaint. Which do you feel would best suit the needs of the G.P.?

- A. Any major or significant complaint, beef, or disagreement a ward may have against another person or persons; or complaint that a ward may have about the application of any written or unwritten policy in that he feels he has been treated unfairly or that the policy has been applied in an inconsistent, coercive, or discriminatory manner. Excluded would be relatively minor or petty complaints in categories to be defined by a staff-ward committee.
- B. Any kind of complaint, beef, or disagreement a ward may have against another person or persons, or complaint that a ward may have about the application of any written policy or unwritten policy in that he feels he has been treated unfairly or that the policy has been applied in an inconsistent, coercive, or discriminatory manner.
- C. As in B except procedure would be open to both wards and staff.
- D. Any kind of complaint, beef, or disagreement a ward may have resulting in a deprivation from a right normally extended to wards in the program. Excluded would be complaints resulting from deprivation from privileges.

E. Other, specify.

7A: How would you rate the general reaction of the wards to the G.P. on a continuum of 1-10 from - Enthusiastic acceptance to Skeptical rejection. Please explain.

Enthusiastic Acceptance			Neutral				Skeptical Rejection		
1	2	3	4	5	6	7	8	9	10

7B: Has this reaction changed over the time from implements to now?

7C: If yes, in what way?

7D: What appears to be the motivation underlying this feeling?

1. Testing - waiting to see.
2. Wards suspicious of staff.
3. Use is improving feeling.
4. Gives wards a say
5. Use shows it works
6. Other - positive
7. Other - negative
8. Other
9. No answer

8: Using the grievance procedure, do you think most wards would feel comfortable filing:

1. Most types of grievances.
2. Some types of grievances.
3. Few types of grievances.
4. No grievances.

9A: Will you give me some examples of grievances most wards would generally feel comfortable in filing?

1. Policy/Procedures
2. Application of P/P
3. Program
4. Points
5. Against staff
6. Wards
7. Any
8. Other
9. No answer

9B: Will you give me some examples of grievances most wards would not feel comfortable in filing?

1. YAB
2. Staff
3. Ward
4. Fair policy/procedure
5. Policy/procedure
6. Other
7. None
8. Any
9. No answer

10A: How do most staff on your hall generally feel toward the wards filing grievances?

1. ___ Accept it.
2. ___ Accept it, with some doubts.
3. ___ Are suspicious, some resentment.
4. ___ Don't want anything to do with it.

10B: Has this feeling changed over time?

1. No change
2. Change - positive
3. Change negative
4. Change - neutral
5. Other
6. No answer

10C: If yes, how

10D: Does this feeling vary with different staff?

1. No
2. Yes - YC most affected
3. Yes - Admin. most affected
4. Yes - related to individual
5. Yes - other
6. Other
7. No answer

11A: How would you categorize the types of grievances filed thus far?

1. ___ Substantive - deal with important issues.
2. ___ For the most part deal with important issues, have merit.
3. ___ Some are important and have merit, others not.
4. ___ Most have only marginal merit.
5. ___ For the most part frivolous - a waste of time to process.
6. ___ Other
7. ___ No answer

11B: Have you noticed any change in the types of grievance filed on the last four months? (Explain)

1. Yes
2. No
3. No answer

12: If a ward filed a grievance today, do you think it would eventually be worked out or resolved satisfactoritly -

For the Ward?

1. Yes for ward
2. No for ward
3. Yes for staff
4. No for staff
5. Yes for admin.
6. No for admin.
7. Yes for all
8. Other
9. No answer

For staff?

For administration?

13: Have there been any changes in how well staff and wards on your hall have been getting along since the start of the G.P.?

Yes No

If yes, explain (probe for objective indications).

- 1. Yes - positive
- 2. Yes - neutral
- 3. Yes - negative
- 4. No
- 5. Don't know
- 6. Other
- 7. No answer

14: Have there been any changes in how well groups of wards on your hall have been getting along since the start of the G.P.?

If yes, explain (probe for objective indications).

- 1. Yes - positive
- 2. Yes - neutral
- 3. Yes - negative
- 4. No
- 5. Don't know
- 6. Other
- 7. No answer

15: What, if any, problems have been solved through the implementation of the G.P.?

- 1. Changes related to grievance filed.
- 2. Clarified/Imp. existing policy.
- 3. Helped "shape-up" staff.
- 4. New treatment approach.
- 5. Other
- 6. None
- 7. No answer

16: What, if any, problems have been created through the implementation of the G.P.?

- 1. Ward/Staff related
- 2. Time demands
- 3. Admin/line staff gap
- 4. Other
- 5. None
- 6. No answer

17: About how much of your time in any given week is involved with the G.P.?
(Be specific - approximate hours per week.)

- 1. One hour or less
- 2. Two - three hours
- 3. Four - five hours
- 4. Six - seven hours
- 5. Eight or more
- 6. Other
- 7. No answer

18A: In summary, based on your past few months experience with the grievance procedure on your hall, how would you evaluate its usefulness?

- 1. Generally a useful system to resolve grievances.
- 2. A fair system that needs some improvement.
- 3. A poor system that needs lots of improvement.
- 4. A bad system that should be dropped or replaced by something else.

18B: (If not already clear from past statements) What makes you say that?

19: How do you think the system could be improved.

1. Time relief
2. Better communication
3. Training - ward/staff
4. Modify procedures
5. Other
6. Don't know
7. No change
8. No answer

NON-HALL STAFF INTERVIEW

NAME _____

POSITION _____

LENGTH OF TIME WITH YA _____

LENGTH OF TIME AT KARL HOLTON _____

Name of interviewer _____

Date _____

1. Now would you think about how the program here as a whole is affecting the wards. Would you say it's helping:

1. _____ Most of them.
2. _____ Some of them.
3. _____ Few of them.
4. _____ None of them.

2. What parts of the program seem to help wards the most?

1. Academic
2. Counseling/Counselor
3. Beh/Mod Program
4. Recreation
5. None
6. Other
7. No answer

3. How do you feel about the point system used here?

1. _____ Generally a good system.
2. _____ A fair system that needs some improvement.
3. _____ A poor system that needs lots of improvement.
4. _____ A bad system which should be replaced.

Why do you feel that way?

1. Idea good, difficult to impl.
2. System open to manipulation.
3. Provides objective evaluation.
4. Wards know where they stood.
5. Insufficient training/understanding
6. Procedural
7. Other
8. No answer

4. Do you think a formal means of registering complaints, such as the G.P., was necessary at Karl Holton?

1. Unqualified yes
2. Qualified yes
3. Qualified no
4. Unqualified no
5. Other
6. Don't know
7. No answer

5. Have you received a copy of the procedure explaining how it operates?

1. Yes
2. No
3. Don't know
4. Other
5. No answer

6. How adequate has been your training concerning the G.P.? (Specifically note extent of formal training - brief or orientation or training session of two hours for example.)

1. Adequate - happy
2. Less than adequate - unhappy
3. No training
4. Other
5. No answer

7. Do you have any suggestions as to how this training could be improved?

1. No suggestions
2. More "how to" - role playing, etc
3. More background/rationale
4. More extensive training
5. Other
6. No answer

8: What opportunity has been given staff to discuss and review the G.P. since its implementation? (Note frequency and types of staff reviews of G.P.; e.g., discussion at staff meetings, refresher training, explanations, etc.)

1. None
2. Very little
3. Some
4. Much
5. Other
6. No answer

9: Consider the following definitions of grievances upon which wards could file a formal complaint. Which do you feel would best suit the needs of the G.P.?

- A. Any major or significant complaint, beef, or disagreement a ward may have against another person or persons; or complaint that a ward may have about the application of any written or unwritten policy in that he feels he has been treated unfairly or that the policy has been applied in an inconsistent, coercive, or discriminatory manner. Excluded would be relatively minor or petty complaints in categories to be defined by a staff-ward committee.
- B. Any kind of complaint, beef, or disagreement a ward may have against another person or persons, or complaint that a ward may have about the application of any written policy or unwritten policy in that he feels he has been treated unfairly or that the policy has been applied in an inconsistent, coercive, or discriminatory manner.
- C. As in B except procedure would be open to both wards and staff.
- D. Any kind of complaint, beef, or disagreement a ward may have resulting in a deprivation from a right normally extended to wards in the program. Excluded would be complaints resulting from deprivation from privileges.
- E. Other, specify.

10A: From what you have observed, how would you rate the general reaction of the wards to the new G.P. on a continuum of 1-10 from - Enthusiastic acceptance to Skeptical rejection. Please explain.

Enthusiastic Acceptance				Neutral		Skeptical Rejection			
I				I					I
1	2	3	4	5	6	7	8	9	10

10B: What appears to be the motivation underlying this feeling?

1. Wards still testing - waiting to see.
2. Wards basically suspicious of staff.
3. Use improving feeling.
4. Gives wards say - like that.
5. Changing thru use - positive.
6. Other.
7. No answer.

11A: How do you think most staff feel toward the wards filing grievances?

1. Accept it.
2. Accept it, with some doubts.
3. Are suspicious, some resentment.
4. Don't want anything to do with it.

11B: Does this feeling vary with staff position - TTS, SW, YC, teacher for example?

1. No.
2. Yes - Y.C. most affected
3. Yes - Admin. most affected
4. Yes - related to individual
5. Yes - other
6. Other
7. No answer

12: How would you categorize the types of grievances filed thus far?

1. Substantive - deal with important issues.
2. For the most part deal with important issues, have merit.
3. Some are important and have merit, others not.
4. Most have only marginal merit.
5. For the most part frivolous - a waste of time to process.

13: If a ward filed a grievance today, do you think it would eventually be worked out or settled fairly and satisfactorily:

For the Ward?

For Staff?

For Administration?

14: Have there been any changes in how well staff and wards have been getting along, since the start of the G.P.?

Yes No

If yes, explain (Probe for objective indications).

1. Yes - positive
2. Yes - neutral
3. Yes - negative
4. No
5. Too early to tell
6. Other
7. No answer

15: Have there been any changes in how well groups of wards have been getting along since the start of the G.P.?

If yes, explain (probe for objective indications).

1. Yes - positive
2. Yes - neutral
3. Yes - negative
4. No
5. Too early to tell
6. Other
7. No answer

16: What, if any, problems have been solved through the implementation of the G.P.? (Encourage respondent to think beyond just those problems about which grievances have been filed - Example - #3.)

1. Changes related to specific grievances filed, excluding policy.
2. Change related to policy (changed/improved/clarified).
3. Helped "shape up" staff.
4. New treatment approach.
5. Other.
6. None.
7. No answer.

17: What, if any, problems have been created through the implementation of the G.P.?

1. Ward/Staff related.
2. Time demands
3. Administrative/line gap.
4. Other
5. None
6. No response.

18: About how much of your time in any given week is involved with the G.P.? (Be specific - approximate hours per week.)

19A: In summary, based on your past few months experience with the grievance procedure how would you evaluate its usefulness?

1. ___ Generally a useful system to resolve grievances.
2. ___ A fair system that needs some improvement.
3. ___ A poor system that needs lots of improvement.
4. ___ A bad system that should be dropped or replaced by something else.

19B: (If not already clear from past statements) What makes you say that?

20: How do you think the system could be improved.

1. Time relief
2. Better communication
3. Training - ward/staff
4. Modify procedure
5. Other
6. Don't know
7. No change
8. No answer

REVISED USER INTERVIEW

Ward's name _____

Interviewer's name _____

Hall: _____

Date _____

IA: What was your grievance?

- 1. Hall policy
- 2. Inst. policy
- 3. Dept. policy
- 4. Staff
- 5. Ward
- 6. Beh. Mod.
- 7. Other

Does verbal statement correspond to written form?

- 1. Generally corresponds.
- 2. Minor discrepancy.
- 3. Major discrepancy.

New dimensions/dynamics? _____
(explain)

IB: Have there been other grievances similar to this filed on your hall?

Yes _____ No _____ Dont't know _____

- 1. Valid
- 2. Partially valid
- 3. Invalid
- 4. Cannot determine

2A: Before you filed a grievance, what did you do about the problem? (probe).

- 1. Thought - took no action
- 2. Discussed with staff - no expectation of action
- 3. Discussed with staff - expected resolution.
- 4. Discussed in large group
- 5. Other

2B: What happened (reaction)?

- 1. Supportive
- 2. Neutral
- 3. Negative
- 4. Undetermined
- 5. Other
- 6. None

2C: How did you file your grievance?

- 1. Grievance clerk
- 2. Own counselor
- 3. Youth counselor
- 4. Social Worker
- 5. Treatment team supervisor
- 6. Other (specify)

2D: What was staffs' reaction to your filing the grievance?

- 1. Supportive
- 2. Neutral
- 3. Negative
- 4. Undetermined
- 5. Other
- 6. None

3: Was there a hearing on your grievance?

Yes _____ No _____
 (go to 5) (go to 4)

4A: Why was it handled informally

- 1. Staff ward agreed to work it out w/o hearing.
- 2. Ward decided to handle w/o formal leaving.
- 3. Staff decision.
- 4. Other

4B: Did you ask for a hearing?

Yes _____ No _____

4C: Degree to which staff influenced decision to resolve informally?

_____ | _____ | _____ | _____ | _____ |
 | | | | |
 None Some Very
 Much

(go to 6)

5A: If yes, did you attend the hearing?

Yes _____ No _____

5B: If no, why not?

5C: Which staff were at the hearing?

- 1. Treatment Team Supervisor
- 2. Social Worker
- 3. Youth Counselor's

5D: If yes, did you have a representative of your choice?

Yes _____ No _____

5E: If no, why not?

- _____ 1. Didn't want one
- _____ 2. Unable to come
- _____ 3. Staff prevented
- _____ 4. Other

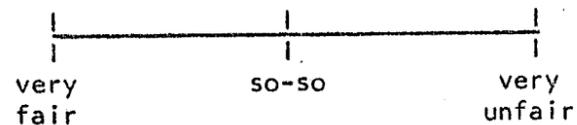
5F: If yes - (had representative) _____ ward

_____ staff

5G: Did he help you?

Yes _____ No _____ Some _____

5H: Think a bit about how the hearing was handled. How fair or unfair do you think it was?

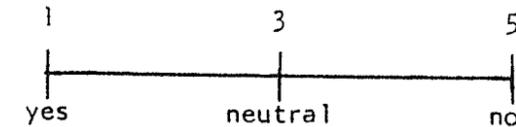


5I: Why do you feel that way?

6. What resolution was reached with your grievance?

- _____ 1. Generally agrees w/form.
- _____ 2. Minor disagreement w/form.
- _____ 3. Major disagreement w/form.
- _____ 4. No final resolution recorded.
- _____ 5. Other

7A: Were you satisfied with the results?



7B: If less than totally satisfied - why not?

7C: Have you appealed?

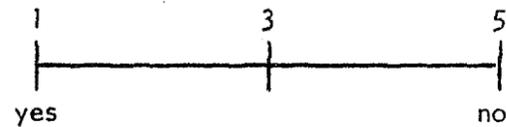
Yes _____ No _____

7D: If no, why?

- _____ 1. Satisfied.
- _____ 2. Not dissatisfied enough to appeal.
- _____ 3. Dissatisfied - but no expectation of change.
- _____ 4. Dissatisfied - fear of staff.
- _____ 5. Dissatisfied - unfamiliar w/appeal process.
- _____ 6. Other.

8A: Number of days since resolution _____.

8B: Was the final resolution carried out to your satisfaction?



8C: If less than satisfied, why?

9: Have you received written notice of the results of each hearing/review?

Yes _____ No _____

10: Using the grievance procedure, do you think you would feel comfortable filing:

- _____ 1. Most types of grievances.
- _____ 2. Some types of grievances.
- _____ 3. Few types of grievances.
- _____ 4. No grievances.

11A: Based on what you know about the grievance procedure on your hall, how usefull do you think it is?

- 1. Generally a useful system to resolve grievances.
- 2. A fair system that needs some improvement.
- 3. A poor system that needs lots of improvement.
- 4. A bad system that should be dropped or replaced by something else.

11B: What makes you say that (if not clear).

12: How do you think the grievance procedure could be improved?

- 1. _____ greater speed.
- 2. _____ more "outside" control.
- 3. _____ greater ward power.
- 4. _____ OK as it is.
- 5. _____ no suggestions.
- 6. _____ Other - specify

NON-USER INTERVIEW

Ward's name _____

Interviewer's name _____

Hall _____

Date _____

1A: When you have a complaint that you think needs to be dealt with, what do you do about it?

- 1. Use G.P. (go to 1B)
- 2. Talk w/staff
- 3. Discussed in large group
- 4. Talked with wards
- 5. Thought - no action
- 6. Other attempted resolution
- 7. No significant complaints (go to 2) (Probe)

1B: (If G.P. is mentioned, probe for reason(s) for non use).

- 1. Fear of staff reaction
- 2. No significant grievance
- 3. Work it out another way
- 4. System lacks credibility
- 5. Other (specify)

1C: If G.P. not mentioned - ask - "Have you thought about using the Grievance Procedure?" (Probe for reason(s) why not)

- 1. Fear of staff reaction
- 2. Work it out another way
- 3. System lacks credibility
- 4. Don't make waves
- 5. Other (specify)

1D: If you were concerned about a mutual problem, would you along with several other wards file a joint grievance?

yes _____ no _____ (If no, why)

2: Using the grievance procedure, do you think you would feel comfortable filing:

- 1. Most types of grievances
- 2. Some types of grievances
- 3. Few types of grievances
- 4. No grievances

3A. Will you give me some examples of grievances you would generally feel comfortable in filing? (Specify complaint & code if applicable)

- 1. Policy/procedures
- 2. Staff
- 3. Wards
- 4. Points
- 5. Application of policy/procedure
- 6. Any type
- 7. Other
- 8. None

3B: Will you give me some examples of grievances you would feel uncomfortable in filing? (Specify complaint & code if applicable)

- 1. Wards
- 2. Against staff
- 3. When in the wrong
- 4. Any
- 5. Too petty

4A: Under the Grievance Procedure, how do you think staff feel toward wards filing grievances?

- 1. Accept it
- 2. Accept it, with some doubts
- 3. Are suspicious of it
- 4. Don't want anything to do with it
- 5. Depends on individual staff
- 6. Don't know

4B: What makes you say that?

- 1. Don't care - they'll always win
- 2. Part of the job - don't care one way or other
- 3. Dislike "showing power"/ giving up authority
- 4. Depends on grievance and/or ind. staff
- 5. Staff don't like complainers/wards filing on them
- 6. Don't want to change
- 7. Staff provide positive support
- 8. Other
- 9. No answer/unclear

5A: In your opinion, if a ward filed a grievance today, do you think it would eventually be worked out or settled fairly?

Yes No Sometimes Don't know

5B: Would you explain why you think that?

- Yes has before
- set up that way
- staff/wards work it out
- other (specify)
- No staff at fault
- works that way
- other (specify)
- Sometimes - depends on grievance and/or staff involved
- Sometimes - other
- Don't know - insufficient information
- Don't know - other
- No answer

6A: In summary, based on what you know about the grievance procedure on your hall, how useful do you think it is?

- 1. Generally a useful system to resolve grievances
- 2. A fair system that needs some improvement
- 3. A poor system that needs lots of improvement
- 4. A bad system that should be dropped or replaced by something else

6B: (If not already clear from past statements). What makes you say that?

7: How do you think the system could be improved?

- 1. New staff
- 2. Less staff control or more ward control
- 3. Outsiders
- 4. Speed it up
- 5. More training, etc.
- 6. No change
- 7. Don't know
- 8. Other
- 9. No answer

END