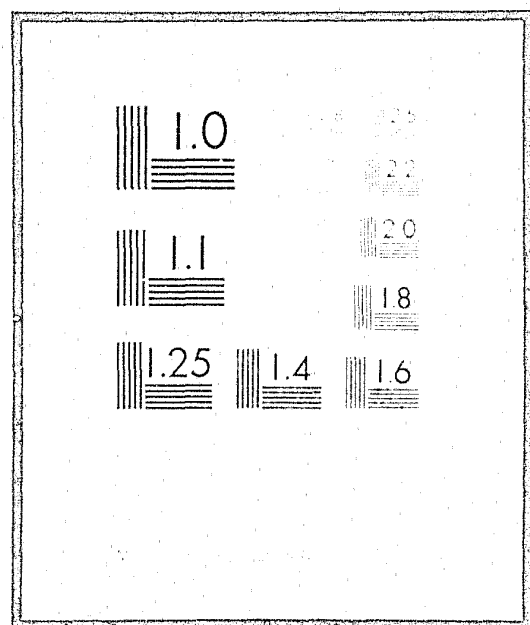


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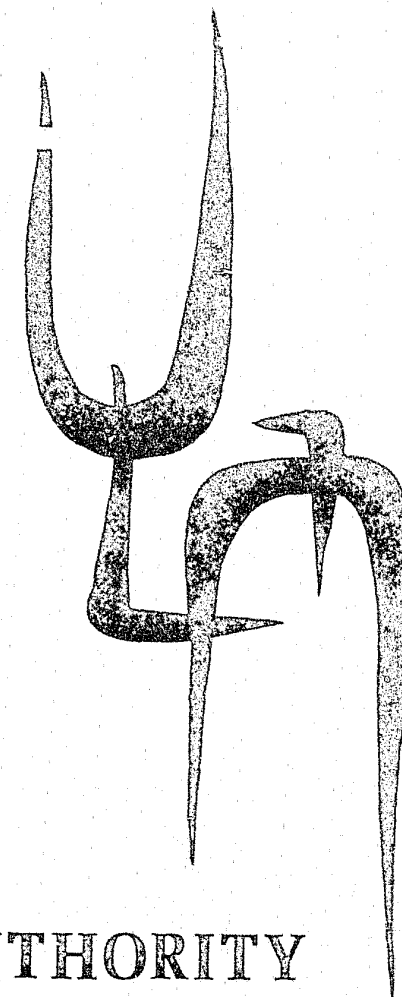
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# ASSESSMENT OF PARTICIPATORY MANAGEMENT SYSTEM AT O. H. CLOSE SCHOOL

MAY, 1976



CALIFORNIA  
YOUTH AUTHORITY



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## HIGHLIGHTS

A Participatory Management System was initiated in January, 1974, at Youth Authority's O. H. Close School with a view toward promoting safety, fairness, normalcy, and effectiveness of treatment within the institution. The system establishes procedures for the joint participation of wards and staff in key areas of decision making affecting each ward's institutional career. To implement the system, ward and staff training was provided under the guidance of an outside consultant over four-month periods among the institution's eight living units.

Evaluation of the Participatory Management System yielded several major findings, as follows:

- For the overall institution, ward/staff ratings indicate relatively high levels of ward participation in key areas of decision making.
- Based on ward/staff ratings, there was a distinct increase in the degree of ward participation during the total study period.
- Following completion of ward/staff training in use of the system, an increase in the level of participative management was accompanied by a decline in the number of minor disciplinary actions, as well as in the number of wards placed in the disciplinary lockup unit.
- The degree of ward participation in decision making varied to some extent, depending on the type of decision involved. The highest degree of participation was reported for ward grievance hearings and the lowest degree in decisions relating to disciplinary actions.
- There was a general increase in positive ward perceptions of social

climate within the living unit after implementation of the participatory management system, and the increase was largely maintained in subsequent months of the study period.

- On those living units where participatory management was relatively high there were trends toward fewer disciplinary problems and fewer wards sent to the disciplinary lockup unit.

Viewed as a whole, the evaluation suggests that the system was implemented effectively on several of the living units, with wards and staff sharing in critical areas of decision making to an increasing extent. Moreover, on these living units the participatory management appeared to be associated with declines in disciplinary problems and improvement in social climate.

## INTRODUCTION

This report presents data collected over a nine-month study period relative to the evaluation of the Integrated Correctional Management and Justice System, commonly referred to as the Participatory Management System, at the O. H. Close School. Training for implementing this procedure on the various living units was provided by a consultant, Dr. David Daniels. The system was initiated at this school in 1974 with four specific goals in mind:

1. Increasing safety for both wards and staff;
2. Ensuring fairness in making decisions that affect the lives of wards;
3. Normalizing to that extent possible the institutional experience of wards; and
4. Increasing the effectiveness of treatment services.

In part, these goals reflected the growing awareness of the need to protect the rights of individuals while incarcerated. Increasingly, courts have held that individuals deprived of their liberty must be treated both fairly and humanely.

The provision of due process criteria in dealing with inmates is the first step in ensuring fairness and humaneness. However, experience has increasingly shown that due process alone is not enough. To fully achieve the

desired ends, there must be a cooperative relationship between staff and inmates in dealing with mutual problems. This in turn implies a breaking down of the traditional barriers which too often have separated the two groups in the past. Each group has functioned in isolation from the other and decisions about common concerns were made independently. The usual result was that decisions and standards made by the keepers were imposed on the kept. At the same time, the kept articulated and demanded conformity to their own standards of behavior. The core of the new plan is to provide increased opportunity for participation on the part of Youth Authority wards in their daily program and at critical decision making points where control is exercised over their lives.

This system is based on the concept that decisions are made on a continuum running from the autocratic through consultive and collaborative to participative.<sup>1</sup> The intent is to shift the balance of decision making away from the authoritative and toward the participative, recognizing that even under ideal conditions not all decisions will be made with the equal participation of all concerned and that the sharing of power must stop short of abdication of responsibility by those charged with providing leadership and control.

Because of the uniqueness of this approach to correctional program management, a research component was added to the project in the latter part of 1974. The research evaluation was designed to yield ongoing data relative to the func-

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<sup>1</sup>The two ends of the continuum are: 1) autocratic - decisions made unilaterally with little or no discussion; and 2) participative - a decision making process recognizing the equality of all in jointly arriving at a given course of action.

See List of References on page 41 for relevant literature concerning participatory management.

tioning and impact of the participatory system over time. Particular emphasis was placed on establishing an information system which would allow a determination to be made of the extent to which wards are allowed to jointly participate in decisions at critical points and to determine the impact, if any, of this participation in other areas of program functioning at the school.

## OBJECTIVES

The overall aim of the evaluation is to determine the extent to which wards are involved in the decision-making processes and the impact the system has on specific areas of functioning at the school. More specifically, the objectives are:

1. Evaluate the functioning of the participatory management system, with particular emphasis on the following:
  - a) the extent to which wards participate in important decision making points; and
  - b) the extent to which the management system is maintained at an adequate level as shown by degree of staff/ward participation after completion of the initial training.
2. Examine major fluctuations in the degree of ward participation during the study period, as well as any major differences in participative management among living units.
3. Determine the impact of the management system in terms of indicators of staff/ward safety, as well as perceptions of program functioning, treatment, and social climate.

## STUDY METHOD

The study design used and the types of data collected with reference to the three project objectives were as follows. In accordance with the first two objectives, measures were obtained on the extent to which participatory management occurred among staff and wards in critical decision-making areas and the extent to which the participation was maintained over time. For this purpose, two instruments, Forms A and B, were devised. Form A was employed to gather data on the extent and quality of ward/staff participation in several decision areas: Disciplinary dispositions, day pass decisions, recommendations at case conference dealing with a ward's freedom, ward/staff case conference committees, and ward grievance hearings. The form was to be completed by all participants in these decisions. Form B was intended to collect data on the extent and quality of ward/staff participation in two areas - living unit policies and phase movements (as defined later in this report). This form was completed by 10 randomly selected wards from each 50-bed living unit and by 5 of each unit's 8 staff members. The staff sample was stratified to include 3 Youth Counselors, the Senior Youth Counselor, and the Social Worker. In addition to use of the two forms, research interviews were conducted with random samples of wards, stratified by ethnic group and representing 15% to 20% of the respective living unit populations. Using open-ended questions, the interviews were designed to elicit ward appraisals of the participatory



management system as it was implemented in the living units.

With regard to the third objective, the impact of the management system was explored by analyzing its implementation during the study period in relation to several variables. These "impact" variables were based on the following data:

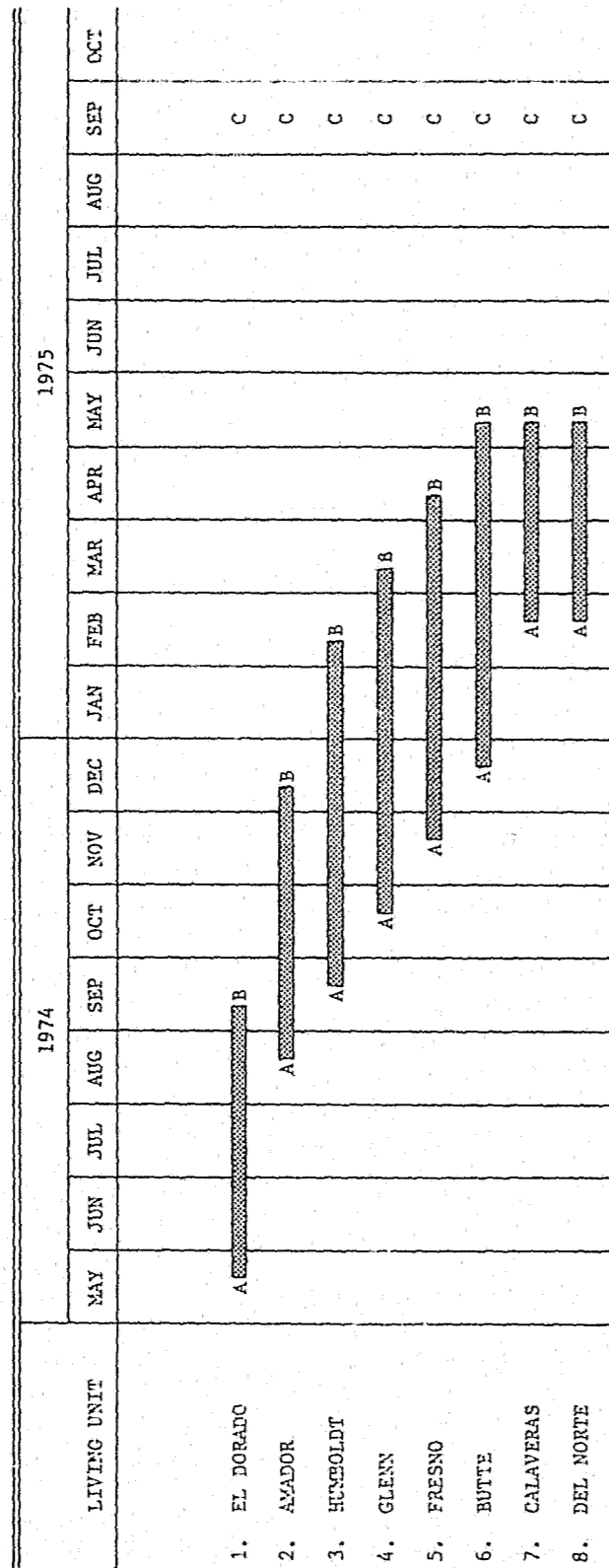
- a) Program Satisfaction - A global question was asked to assess staff and ward's overall satisfaction with the total living unit program. As part of a general questionnaire on Dimensions of Satisfaction administered in the study, the global question was used here as a key indicator of perceived program satisfaction. The question was posed to all available staff and wards within two weeks before training for the system implementation began, within two weeks after training was completed, and again at varying intervals after completion of training among the different living units (see Chart 1).
- b) Correctional Institution Environment Scales (CIES) - This standardized instrument is designed to measure social climate factors in correctional environments within the living unit setting. It was administered jointly with the Dimensions of Satisfaction questionnaire.
- c) Minor Disciplinary Actions (Disciplinary Decision Making System - Level A reports) - These refer to ward infractions, of a non-serious nature, which were routinely reported by living unit staff. Examples: fights without injury, racial agitation, and rule violations. The more serious disciplinary incidents occurred too infrequently to be included in a trend analysis in this study.
- d) Assignment to Lockup Unit (Inyo Unit) - Routine records were kept by living unit staff on the number of wards sent to the lockup unit for disciplinary infractions each month.
- e) Calls to Security for Assistance - Records were maintained by living unit staff on the number of staff calls for assistance by security staff in order to control potential or actual ward incidents, such as fights or similar disturbances.
- f) Ward Grievance - The number of grievances filed by wards was recorded for each living unit.

In conjunction with the three evaluation objectives, the degree of ward participation in key decision areas was indicated by the categorical definitions used in Forms A and B. These definitions are as follows:

1. *EQUAL* - Everyone involved in making the decision or decisions was involved. Both wards and staff cooperated equally in deciding what should be done.
2. *SOME* - Before the decision or decisions were made, there was a lot of talk about what should be done. All people involved in the matter talked it over and had a chance to say how they felt. However, the final decision or decisions were made by staff.
3. *LITTLE* - Before the decision or decisions were made, questions were asked about it and the people involved had some chance to say how they felt. However, staff made the final decision themselves.
4. *NONE* - The decision or decisions made were reached without much discussion or trying to find out how others felt. Staff decided what to do and then told the others involved.

CHART 1

TRAINING AND IMPLEMENTATION OF PARTICIPATORY MANAGEMENT SYSTEM  
BY LIVING UNITS AT O. H. CLOSE SCHOOL



NOTE: The shaded bars indicate the length of training for the participatory management system. Points A, B, and C indicate approximate time of questionnaire administration for Dimensions of Satisfaction questionnaire and the Correctional Institution Environment Scale.

## FINDINGS

The findings are organized into two major parts. Part I provides an overall view of the participatory management system's efficacy and impact based on measures summarized for all living units. Part II presents the corresponding data broken down for individual living units. Of major interest in both Parts I and II are: a) trends in the system's Level of functioning over the study period; and b) associations between measures of system implementation and dependent or impact measures, such as disciplinary infractions, assignment to the lockup unit, responses to the global question on program satisfaction, and perceptions of social climate factors.

### Part I - Overall Assessment

#### CASE DECISIONS (FORM A)

Table 1 shows the degree of ward participation as perceived by both wards and staff combined for all decisions reported on Form A. These decisions pertain to minor disciplinary actions, day passes, case conference participation and recommendations, as well as grievance hearings. The five-month period covered by the table represents the period after all eight units completed training in participatory management.

The main points illustrated by this table are: 1) most decisions are seen as being reached with either equal ward participation with staff or considerable ward input before a decision is made; and 2) over the five months, ward and staff ratings of the degree of participation remained at a relatively constant level showing little variation from month to month; and 3) there was a substantial increase in the amount of ward participation in decision-making, doubling from 202 reports in June to 411 in October of 1975.

TABLE 1  
WARD PARTICIPATION IN DECISION MAKING\* AS RATED BY WARDS AND STAFF  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=202	N=301	N=308	N=361	N=411
TOTAL .....	100.0	100.0	100.0	100.0	100.0
Equal .....	56.9	58.2	59.4	59.9	58.6
Some .....	32.7	30.9	29.6	31.9	34.6
Little .....	6.4	8.6	9.4	7.2	5.8
None .....	4.0	2.3	1.6	1.0	1.0

\*Includes decisions on minor disciplinary actions, day passes, case conferences and grievance hearings.

SOURCE: Form A

To examine long term trends, the ratings for June through October, 1975, were compared to those obtained for February through May, 1975, during which period training in use of the system had been either started or completed in six of the eight living units.<sup>2</sup> Comparison of the first four months to the

<sup>2</sup>Dillingham, David, et. al, An Evaluation of the Correctional Management and Justice System - O. H. Close: Progress Report No. 1, July 1975, California Youth Authority, p. 10.

last five months shows an increase of about 10 percentage points, indicating an improvement in the functioning of the system over time.

To examine possible differences in ward and staff ratings, the data from Table 1 are shown in Table 2 separately for wards and staff. Perusal of Table 2 reveals some interesting differences between ward and staff ratings. Generally, wards rate the decision making process on a more equal basis than do staff, as seen by the percentage of respondents in the equal category for each group. There are no clear-cut trends for either group, although staff reveal an increase and wards a decrease in percent of equal participation during the last three months.

TABLE 2  
WARD PARTICIPATION IN DECISION MAKING\* AS RATED BY WARDS AND STAFF  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

STAFF AND WARD RATING OF DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=202	N=301	N=308	N=361	N=411
WARD .....	(N=85) 100.0	(N=153) 100.0	(N=139) 100.0	(N=146) 100.0	(N=137) 100.0
Equal .....	68.2	58.8	77.0	71.2	66.4
Some .....	22.4	28.1	13.7	20.6	22.6
Little .....	5.9	9.2	6.5	4.8	9.5
None .....	3.5	3.9	2.8	3.4	1.5
STAFF .....	(N=117) 100.0	(N=148) 100.0	(N=169) 100.0	(N=215) 100.0	(N=274) 100.0
Equal .....	48.7	57.4	45.0	50.7	54.8
Some .....	40.2	33.8	42.6	39.6	40.5
Little .....	6.8	8.1	11.8	8.8	4.0
None .....	4.3	0.7	0.6	0.9	0.7

\*Includes decisions on minor disciplinary actions, day passes, case conferences and grievance hearings.

SOURCE: Form A

Table 3 displays variations and trends over time on measurements of ward participation for each of the five types of decisions for which wards and staff completed a Form A report.

TABLE 3

WARD PARTICIPATION IN DECISION MAKING BY TYPE OF DECISION  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

TYPE OF DECISION, BY DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=202	N=301	N=308	N=361	N=411
MINOR DISCIPLINARY ACTIONS .....	(N=20) 100.0	(N=25) 100.0	(N=12) 100.0	(N=12) 100.0	(N=6) 100.0
Equal .....	45.0	24.0	58.3	25.0	100.0
Some .....	45.0	60.0	25.0	58.3	0.0
Little .....	10.0	4.0	8.3	8.3	0.0
None .....	0.0	12.0	8.3	8.3	0.0
DAY PASS .....	(N=12) 100.0	(N=41) 100.0	(N=50) 100.0	(N=99) 100.0	(N=67) 100.0
Equal .....	16.7	53.7	52.0	69.7	79.1
Some .....	50.0	39.0	30.0	19.2	16.4
Little .....	25.0	7.3	16.0	8.1	3.0
None .....	8.3	0.0	2.0	3.0	1.5
RECOMMENDATIONS AT CASE CONFERENCES .....	(N=82) 100.0	(N=141) 100.0	(N=149) 100.0	(N=174) 100.0	(N=223) 100.0
Equal .....	42.7	56.0	43.6	52.3	43.0
Some .....	41.5	30.5	43.6	38.5	48.9
Little .....	9.7	10.6	12.1	7.5	7.2
None .....	6.1	2.8	0.7	1.7	0.9
PARTICIPATION - CASE CONFERENCE .....	(N=48) 100.0	(N=50) 100.0	(N=24) 100.0	(N=57) 100.0	(N=80) 100.0
Equal .....	62.5	50.0	54.2	56.1	65.0
Some .....	35.4	36.0	33.3	36.8	26.3
Little .....	0.0	14.0	8.3	7.0	7.5
None .....	2.1	0.0	4.2	0.0	1.2
GRIEVANCE HEARINGS ..	(N=40) 100.0	(N=44) 100.0	(N=73) 100.0	(N=19) 100.0	(N=35) 100.0
Equal .....	97.5	97.7	98.6	94.7	97.1
Some .....	0.0	2.3	0.0	5.3	2.9
Little .....	0.0	0.0	0.0	0.0	0.0
None .....	2.5	0.0	1.4	0.0	0.0

SOURCE: Form A

There are several important aspects worth noting in this table. Seen overall, decisions on day passes show a general increase in ward participation over the five-month period. It is also apparent that the largest number of ratings involved decisions concerning recommendations at case conferences. For the total period shown, case conferences account for almost half of the reports.

Further, it may be noted that the number of ratings concerning minor disciplinary actions declined to such an extent that the distribution of ratings among the four categories becomes too unreliable for analysis. The decline is suggestive either of a lack of reporting of such actions or a lack of ward participation in these kinds of decisions.

#### DECISIONS ON LIVING UNIT RULES AND PHASE MOVEMENT (FORM B)

Table 4 shows ratings of ward participation in determining living unit rules. These ratings are presented for the total, as well as separately for staff and wards.

As seen in the total for wards and staff combined, the overall ratings on unit rule decisions are considerably lower than for the types of decisions shown in Table 2. Some of the differences may be due to the sampling procedure in which randomly selected wards are asked to evaluate decisions made over the last month; nevertheless, it is obvious the decisions on living unit rules are seen as less open to ward input than most of the other types of decisions reported on previously.

Also, it is interesting to note the difference between ward and staff perceptions. In contrast to the results shown in Table 2, staff rate the degree

of ward participation in decisions regarding living unit rules considerably higher than do the wards.

TABLE 4  
WARD PARTICIPATION IN DECISIONS ON LIVING UNIT RULES  
AS RATED BY WARDS AND STAFF  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

STAFF AND WARD RATING OF DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=90	N=89	N=82	N=102	N=100
TOTAL .....	100.0	100.0	100.0	100.0	100.0
Equal .....	24.8	23.3	28.6	25.2	26.3
Some .....	40.0	32.0	41.8	30.4	28.9
Little .....	16.2	20.4	13.2	26.1	20.2
None .....	19.0	24.3	16.4	18.3	24.6
STAFF .....	(N=35) 100.0	(N=33) 100.0	(N=28) 100.0	(N=36) 100.0	(N=36) 100.0
Equal .....	45.7	21.2	35.7	22.2	30.5
Some .....	42.9	51.5	50.0	50.0	41.7
Little .....	11.4	21.2	10.7	22.2	22.2
None .....	0.0	6.1	3.6	5.6	5.6
WARDS .....	(N=70) 100.0	(N=70) 100.0	(N=63) 100.0	(N=79) 100.0	(N=78) 100.0
Equal .....	14.3	24.3	25.4	26.6	24.4
Some .....	38.6	22.8	38.1	21.5	23.1
Little .....	18.6	20.0	14.3	27.8	19.2
None .....	28.5	32.9	22.2	24.1	33.3

SOURCE: Form B

Table 5 shows data on the degree of ward participation in decisions concerning movement of wards from one phase in the living unit program to another. Phase movement refers to a ward's advancement within the program accompanied by increased privileges and responsibilities on the basis of demonstrated improvements in major facets of program participation.

TABLE 5  
WARD PARTICIPATION IN DECISIONS ON PHASE MOVEMENT  
AS RATED BY WARDS AND STAFF  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

STAFF AND WARD RATING OF DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=90	N=89	N=82	N=102	N=100
TOTAL .....	100.0	100.0	100.0	100.0	100.0
Equal .....	44.4	30.3	41.5	42.2	46.0
Some .....	40.0	47.2	35.4	27.5	26.0
Little .....	7.8	16.9	15.8	14.6	15.0
None .....	7.8	5.6	7.3	15.7	13.0
STAFF .....	(N=30) 100.0	(N=29) 100.0	(N=29) 100.0	(N=33) 100.0	(N=32) 100.0
Equal .....	50.0	27.6	48.3	63.6	53.1
Some .....	46.7	58.6	44.8	30.3	31.3
Little .....	3.3	13.8	6.9	6.1	12.5
None .....	0.0	0.0	0.0	0.0	3.1
WARDS .....	(N=60) 100.0	(N=60) 100.0	(N=53) 100.0	(N=69) 100.0	(N=68) 100.0
Equal .....	41.7	31.7	37.7	31.9	42.6
Some .....	36.7	41.7	30.2	26.1	23.5
Little .....	10.0	18.3	20.8	18.8	16.3
None .....	11.6	8.3	11.3	23.2	17.6

SOURCE: Form B

As seen in the total, the summarized ratings of ward and staff combined are considerably higher for phase movement decisions than for living unit rules decision. The former correspond more closely to the overall ratings shown in Table 2, although they are still a little lower. Again, there is a difference between staff and ward ratings, with staff generally perceiving a greater degree of ward participation than do the wards. This is especially evident in the distribution of ratings in the three lower categories.

IN SUMMARY, the above data indicate that the participatory management

system was generally functioning at a relatively high level. Examined over time, there was an overall increase in the percentage of wards and staff viewing the decision making process operating on a more equal basis. This positive trend was noted during the first four months of the study period, with the fifth month showing a substantial increase which was maintained during the rest of the nine-month followup. A similar trend, however, was not found for all types of decisions.

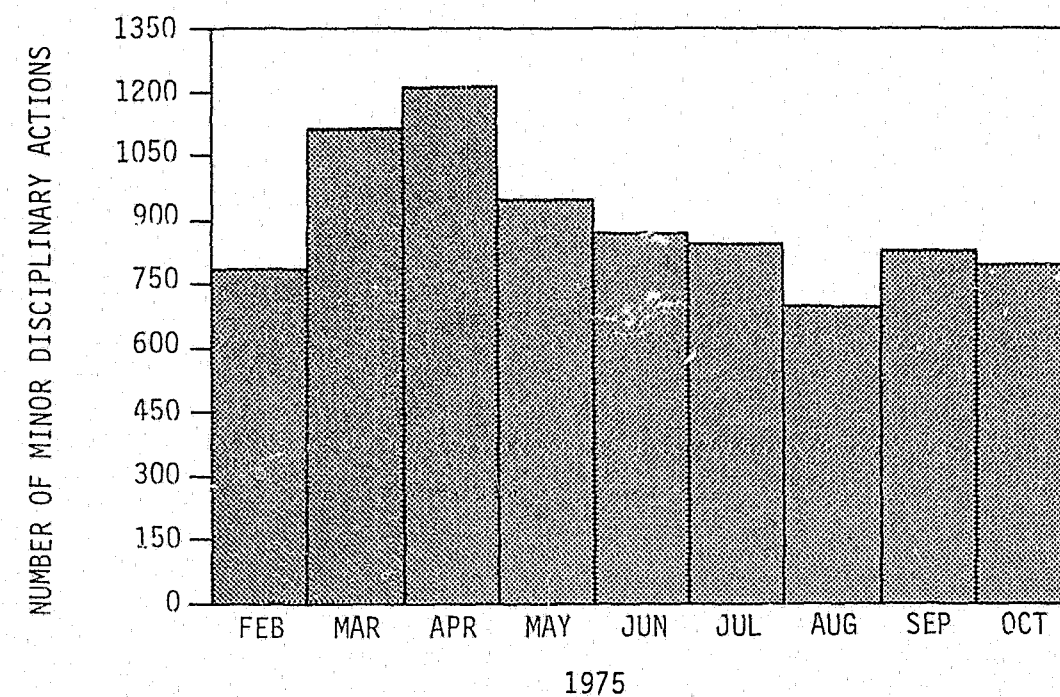
## IMPACT MEASUREMENTS

This section explores the association between the extent of participative management over time and concomitant measures of program functioning, i.e., "impact" variables. The first variable to be examined pertains to minor disciplinary actions. These data are presented in Chart 2 for the total study period. It is relevant to point out that by February 29, 1975, training in the participative management procedures was completed by only two living units; by April 20, 1975, the training was virtually completed by all eight units.

As seen in Chart 2, the number of minor disciplinary actions reported by the living units generally declined over the period, April to October, 1975, during which time all units had completed training. Thus, for this period there appears to be an inverse relationship between implementation of the management system and the incidents of minor disciplinary actions.

CHART 2

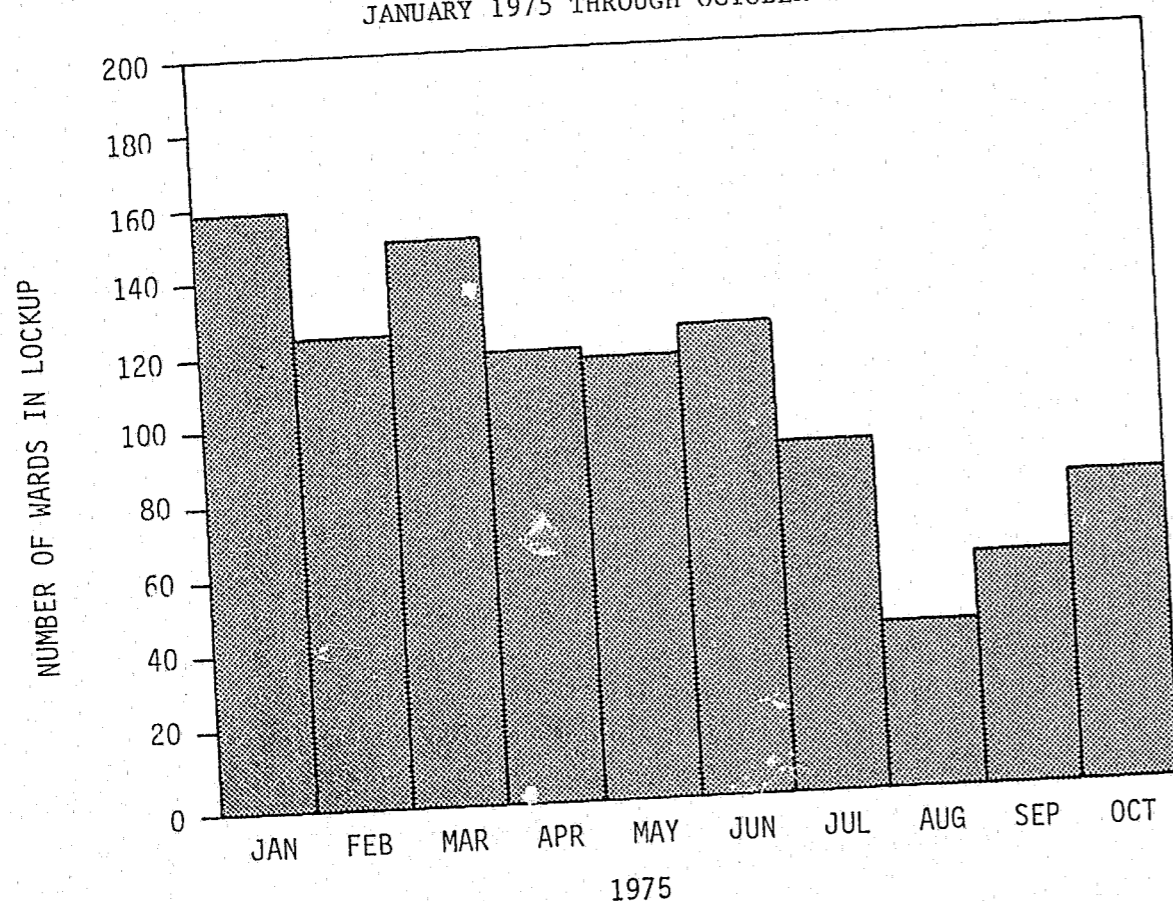
INCIDENCE OF MINOR DISCIPLINARY ACTIONS  
FEBRUARY 1975 THROUGH OCTOBER 1975



It should be recognized that in the present analysis, as well as that to follow, the association between implementation of participatory management and concomitant (or "impact") variables could reflect the influence of other program or environmental factors during the study period. Thus, the findings discussed herein should be regarded as suggestive rather than conclusive, and as not necessarily implying casual relationships. It is believed, however, that the results do provide important clues for future investigation in this area.

CHART 3

INCIDENCE OF WARDS PLACED IN LOCKUP UNIT  
JANUARY 1975 THROUGH OCTOBER 1975



As seen in Chart 3, there was an overall decrease in the number of wards sent to the lockup unit. During the first month of 1975, 159 wards were placed in lockup. Subsequently, there was a general decline so that by August, 1975,

only 44 wards were sent to lockup. Thus, participatory management may have had an impact on the incidence of lockups, especially during the first seven months of the study period.

Another measurement of disciplinary type of problems that was examined involved the number of calls to security staff for assistance. A separate analysis of these data failed to show any salient trends. For the total number reported monthly, there was some monthly variation found, but no overall trend which would support a link between a well functioning participatory management system and the number of calls to security for assistance.

To further explore factors that may be related to implementation of the participatory management system, questionnaires were administered to both wards and staff at three different points-in-time. Testing was done on each living unit shortly before participatory management training, again immediately after training (approximately a 4-month time lapse), and finally during September 1975.<sup>3</sup> The third testing represents intervals varying from three to eleven months following completion of training among the eight living units.

Table 6 presents data based on ward responses in terms of degree of overall satisfaction with the living unit program.<sup>4</sup>

<sup>3</sup>See Chart 1 on page 8 for the time intervals.

<sup>4</sup>To the question - "In general, how satisfied are you with this program?" wards were asked to select the appropriate response category. The response categories are: 1) not at all; 2) slightly; 3) somewhat; 4) quite a bit; and 5) very much. For convenience in analyzing the data, the two higher categories as well as the two lower categories were combined.

TABLE 6  
 DEGREE OF SATISFACTION WITH LIVING UNIT PROGRAM BASED ON WARD RESPONSES  
 BY TESTING PERIOD  
 (IN PERCENT)

LIVING UNIT BY DEGREE OF SATISFACTION	TESTING PERIOD*		
	1st	2nd	3rd
AMADOR	N=34	N=44	N=44
High .....	26.3	40.0	52.2
Medium .....	23.7	30.0	9.1
Low .....	50.0	30.0	38.7
BUTTE	N=45	N=48	N=45
High .....	20.0	57.0	68.9
Medium .....	29.0	16.0	20.0
Low .....	51.0	26.0	11.1
CALAVERAS	N=36	N=39	N=36
High .....	22.0	12.0	36.1
Medium .....	28.0	22.0	19.4
Low .....	50.0	66.0	44.5
DEL NORTE	N=49	N=45	N=39
High .....	10.0	32.0	25.6
Medium .....	24.0	30.0	30.8
Low .....	66.0	38.0	43.6
EL DORADO	N=23	N=23	N=52
High .....	34.0	30.0	48.1
Medium .....	18.0	60.0	50.0
Low .....	30.0	26.0	13.4
FRESNO	N=22	N=15	N=22
High .....	28.0	20.0	27.3
Medium .....	18.0	60.0	50.0
Low .....	54.0	20.0	22.7
GLENN	N=22	N=23	N=22
High .....	33.5	44.0	22.7
Medium .....	38.0	17.0	40.9
Low .....	28.5	39.0	36.4
HUMBOLDT	N=50	N=49	N=49
High .....	69.0	49.0	43.0
Medium .....	23.0	29.0	22.4
Low .....	8.0	22.0	34.6

\*See Chart 1, page 8.

As seen in the table, wards on six of the eight living units expressed greater satisfaction with the program at the time of the third testing than at the initial testing. Thus, it would seem that long term implementation of the participatory management system is associated with a greater degree of ward satisfaction with the living unit program.

Table 7 summarizes findings from the Correctional Institution Environment Scale. This instrument consists of nine subscales (based on 86 true-false items) designed to measure ward and staff perceptions of social climate on the living unit.<sup>5</sup> An analysis of variance was performed to determine whether the mean score differences over time for a given subscale are statistically significant, i.e., greater than would be expected to occur on a chance basis. Comparisons were made between the first and the second testing, the first and the third testing, and the second and third testing. Six of the nine subscales reveal such changes: 1) Involvement, 2) Support, 3) Autonomy, 4) Practical Orientation, 5) Personal Problem Orientation, and 6) Order and Organization.

Table 7 shows the direction of mean score changes between the testing done at the three points-in-time and the level of statistical significance. The results are shown separately for both wards and staff. A change is deemed significant if there is less than 1 chance in 10 that the shift was due to chance. As can be seen, significant differences in mean scores between testing sessions were obtained only for ward responses and all of these changes were in a positive direction. Moreover, these gains occurred mostly between

<sup>5</sup>See Appendix A for a definition of the various subscales and corresponding dimensions.



TABLE 7

ANALYSIS OF WARD AND STAFF RESPONSES ON CORRECTIONAL INSTITUTION ENVIRONMENT SCALE  
FOR O. H. CLOSE SCHOOL

SOCIAL CLIMATE DIMENSION AND SUBSCALE	WARDS			STAFF	
	TESTING PERIODS	DIRECTION OF CHANGE	LEVEL OF SIGNIFI- CANCE*	TESTING PERIODS	DIRECTION OF CHANGE**
<b>RELATIONSHIP</b>					
Involvement .....	1-2	+	P < .10	1-2	+
	1-3	+		1-3	+
	2-3	-		2-3	+
Support .....	1-2	+	p < .01 p < .01	1-2	+
	1-3	+		1-3	+
	2-3	+		2-3	-
Expressive .....	1-2	+		1-2	+
	1-3	-		1-3	+
	2-3	-		2-3	+
<b>TREATMENT</b>					
Autonomy .....	1-2	+	p < .10	1-2	+
	1-3	+		1-3	+
	2-3	-		2-3	+
Practical Orientation ....	1-2	+	p < .01	1-2	+
	1-3	+		1-3	+
	2-3	-		2-3	-
Personal Problem Orientation .....	1-2	+	p < .05 p < .10	1-2	+
	1-3	+		1-3	+
	2-3	-		2-3	+
<b>SYSTEM MAINTENANCE</b>					
Order and Organization ...	1-2	+	p < .10 p < .05	1-2	+
	1-3	+		1-3	+
	2-3	+		2-3	+
Clarity .....	1-2	+		1-2	+
	1-3	+		1-3	+
	2-3	-		2-3	+
Staff Control .....	1-2	-		1-2	-
	1-3	+		1-3	+
	2-3	+		2-3	+

\*A one-way analysis of variance was used to determine whether subscale mean scores among the three testing sessions differ significantly, based on F-test with  $p < .10$ . When significance was found, a two-tailed t-test was used to determine whether the difference between the mean scores for any two of the three testing periods differs significantly.

\*\*No statistically significant difference, based on F-test with  $p < .10$ , was found among the staff mean scores on any of the subscales over the three testing sessions.

the first and second testing. It is noteworthy that most of the mean score changes were also in a positive direction.

The extent to which the initial gains on the subscales were maintained is indicated by the changes between the second and third testing. Although there were no significant gains, there were also no significant declines either. In other words, the higher level reached at the second testing immediately following training was maintained over the time period to the third testing. Based on these data, it appears that the implementation of the participatory management is associated with more positive ward perceptions of social climate on the living unit.

In addition, it is apparent that the significant gains from first to second testing occurred mainly for those subscales included in the treatment dimension. On the other hand, the fewest significant gains were found for the subscales within the System Maintenance dimension. The latter finding indicates there was decreased emphasis on "Order and Organization" and on "Staff Control", changes which would be expected with an increased level of participatory management.

## Part II - Assessment by Living Units

This section examines the data reported from each of the eight living units at O. H. Close School. The sequence of the information covered is essentially the same as in Part I. In addition, information is included from interviews with wards and staff relative to the functioning of the participatory management system on each unit.

The main focus of the analysis will be twofold: 1) comparing the system's level of functioning among the eight living units; and 2) exploring relationships between the system's level of functioning and variations in indicators of program efficacy among the eight units. With regard to the latter, for example, it is relevant to ask whether or not the degree of ward participation in decision making is associated with the incidence of disciplinary actions among the eight living units.

### CASE DECISIONS

Table 8 focuses on ward participation in several decision areas, based on combined ward and staff ratings for each of the living units. Two criteria are used: 1) the number of reports submitted, reflecting the extent to which wards participate in decisions; and 2) the degree of participation, as shown by percent distributions on a four-point scale.

The table reflects considerable variation in levels of ward participation in decision making among the eight units. El Dorado shows generally the highest level of participative management based on either the number of reports submitted or on the quality of ward participation. In contrast, Fresno, Glenn, and Calaveras reveal much lower levels of participation.

In looking at changes over time, one unit shows striking improvement. For Butte living unit, the "equal" rating moved from 19 percent to 81 percent by the end of the study period.

The remaining units exhibit a rather mixed level of ward participation. On Humboldt, for example, the proportion of "equal" participation is extremely

TABLE 8

WARD PARTICIPATION IN DECISION MAKING\* BY LIVING UNIT  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

LIVING UNIT BY DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=202	N=301	N=308	N=361	N=411
AMADOR .....	(N=37) 100.0	(N=31) 100.0	(N=82) 100.0	(N=77) 100.0	(N=21) 100.0
Equal .....	56.8	71.0	56.1	42.8	14.3
Some .....	24.3	25.8	32.9	37.7	52.4
Little .....	13.5	0.0	9.8	15.6	28.5
None .....	5.4	3.2	1.2	3.9	4.8
BUTTE .....	(N=26) 100.0	(N=63) 100.0	(N=16) 100.0	(N=42) 100.0	(N=108) 100.0
Equal .....	19.2	33.3	68.8	90.5	81.5
Some .....	65.4	54.0	31.3	7.1	13.0
Little .....	11.6	11.1	0.0	2.4	3.7
None .....	3.8	1.6	0.0	0.0	1.8
CALAVERAS .....	(N=0) 100.0	(N=19) 100.0	(N=22) 100.0	(N=18) 100.0	(N=5) 100.0
Equal .....	-	0.0	0.0	0.0	0.0
Some .....	-	84.2	45.5	50.0	80.0
Little .....	-	10.5	50.0	27.8	20.0
None .....	-	5.3	4.5	22.2	0.0
DEL NORTE .....	(N=8) 100.0	(N=38) 100.0	(N=33) 100.0	(N=20) 100.0	(N=20) 100.0
Equal .....	25.0	55.3	57.6	60.0	45.0
Some .....	75.0	26.3	21.2	35.0	45.0
Little .....	0.0	13.2	21.2	5.0	10.0
None .....	0.0	5.3	0.0	0.0	0.0
EL DORADO .....	(N=73) 100.0	(N=108) 100.0	(N=70) 100.0	(N=121) 100.0	(N=203) 100.0
Equal .....	60.3	75.0	70.0	75.2	55.2
Some .....	32.9	19.4	27.1	24.8	41.8
Little .....	2.7	5.6	1.4	0.0	3.0
None .....	4.1	0.0	1.4	0.0	0.0
FRESNO .....	(N=8) 100.0	(N=6) 100.0	(N=21) 100.0	(N=18) 100.0	(N=9) 100.0
Equal .....	50.0	83.3	57.1	33.3	22.2
Some .....	12.5	16.7	38.1	61.1	44.5
Little .....	25.0	0.0	0.0	5.6	22.2
None .....	12.5	0.0	4.8	0.0	11.1
GLENN .....	(N=12) 100.0	(N=12) 100.0	(N=20) 100.0	(N=37) 100.0	(N=20) 100.0
Equal .....	25.0	58.3	10.0	16.2	20.0
Some .....	58.4	16.7	75.0	67.6	70.0
Little .....	8.3	25.0	10.0	16.2	10.0
None .....	8.3	0.0	5.0	0.0	0.0
HUMBOLDT .....	(N=38) 100.0	(N=24) 100.0	(N=44) 100.0	(N=28) 100.0	(N=25) 100.0
Equal .....	94.7	75.0	100.0	96.4	92.0
Some .....	5.3	4.2	0.0	3.6	4.0
Little .....	0.0	12.5	0.0	0.0	4.0
None .....	0.0	8.3	0.0	0.0	0.0

\*Includes decisions on minor disciplinary actions, day passes, case conferences, and grievance hearings.

SOURCE: Form A

high, yet the number of reports submitted is generally relatively low.

## DECISIONS ON LIVING UNIT RULES AND PHASE MOVEMENT

The next two tables present data pertaining to ward participation in decisions on living unit rules and on phase movements. As mentioned earlier, these data were obtained on a monthly basis from random samples of approximately 10 wards and 5 staff from each living unit.

The patterns of participation emerging from Table 9 are, for the most part, consistent with those found above in Table 8. Once again El Dorado manifests the highest ratings of participation, while Butte reveals the greatest improvement over the period under consideration. Again, Glenn, Fresno, and Calaveras show relatively low ratings of participatory management.

TABLE 9

WARD PARTICIPATION IN DECISIONS ON LIVING UNIT RULES  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

LIVING UNIT BY DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=105	N=103	N=91	N=115	N=114
AMADOR .....	(N=15) 100.0	(N=14) 100.0	(N=14) 100.0	(N=15) 100.0	(N=15) 100.0
Equal .....	40.0	40.0	28.6	26.7	26.7
Some .....	40.0	60.0	42.9	33.3	33.3
Little .....	0.0	0.0	21.4	40.0	33.3
None .....	20.0	0.0	7.1	0.0	6.7
BUTTE .....	(N=15) 100.0	(N=14) 100.0	(N=14) 100.0	(N=15) 100.0	(N=15) 100.0
Equal .....	13.3	21.4	28.6	53.3	60.0
Some .....	80.0	7.1	50.0	20.0	13.3
Little .....	0.0	35.7	0.0	0.0	13.3
None .....	6.7	35.7	21.4	26.7	13.3
CALAVERAS .....	(N=15) 100.0	(N=15) 100.0	(N=9) 100.0	(N=15) 100.0	(N=11) 100.0
Equal .....	13.3	6.7	22.2	46.7	18.2
Some .....	33.3	73.3	22.2	13.3	9.1
Little .....	40.0	13.3	22.2	26.7	9.1
None .....	13.3	6.7	33.3	13.3	63.6
DEL NORTE .....	(N=15) 100.0	(N=15) 100.0	(N=14) 100.0	(N=13) 100.0	(N=15) 100.0
Equal .....	26.7	26.7	7.1	15.4	13.3
Some .....	60.0	20.0	71.4	15.4	6.7
Little .....	6.7	40.0	7.1	15.4	40.0
None .....	6.7	13.3	14.3	53.8	40.0
EL DORADO .....	(N=15) 100.0	(N=14) 100.0	(N=15) 100.0	(N=15) 100.0	(N=15) 100.0
Equal .....	26.7	64.3	73.3	33.3	60.0
Some .....	26.7	14.3	26.7	40.0	33.3
Little .....	33.3	7.1	0.0	26.7	6.7
None .....	13.3	14.3	0.0	0.0	0.0
FRESNO .....	(N=15) 100.0	(N=15) 100.0	(N=10) 100.0	(N=14) 100.0	(N=14) 100.0
Equal .....	33.3	0.0	10.0	0.0	0.0
Some .....	0.0	20.0	0.0	35.7	28.6
Little .....	6.7	20.0	30.0	28.6	21.4
None .....	60.0	60.0	60.0	35.7	50.0
GLENN .....	(N=15) 100.0	(N=15) 100.0	(N=15) 100.0	(N=15) 100.0	(N=14) 100.0
Equal .....	20.0	6.7	20.0	13.3	14.3
Some .....	40.0	26.7	60.0	66.7	57.1
Little .....	26.7	26.7	20.0	13.3	14.3
None .....	13.3	40.0	0.0	6.7	14.3
HUMBOLDT* .....	(N=0) 0.0	(N=0) 0.0	(N=0) 0.0	(N=13) 100.0	(N=15) 100.0
Equal .....	0.0	0.0	0.0	7.7	13.3
Some .....	0.0	0.0	0.0	15.4	46.7
Little .....	0.0	0.0	0.0	61.5	20.0
None .....	0.0	0.0	0.0	15.4	20.0

\*Humboldt reported that no decisions were made on living unit rules during June, July, and August 1975.

SOURCE: Form B

A somewhat different pattern is seen in Table 10 with respect to ward participation in phase movement among the living units.<sup>6</sup> El Dorado continues to show the highest and Glenn the lowest proportions in the "equal" participation category; however, Amador reveals a consistently higher than average level of participation, and Calaveras manifests a level close to the overall institution average as seen in Table 5.

TABLE 10  
WARD PARTICIPATION IN DECISIONS ON PHASE MOVEMENT\*  
JUNE 1975 THROUGH OCTOBER 1975  
(IN PERCENT)

LIVING UNIT BY DEGREE OF PARTICIPATION	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER
	N=90	N=89	N=82	N=102	N=100
AMADOR .....	(N=15) 100.0	(N=15) 100.0	(N=14) 100.0	(N=15) 100.0	(N=15) 100.0
Equal .....	46.7	46.7	50.0	40.0	40.0
Some .....	33.3	53.3	42.9	20.0	20.0
Little .....	0.0	0.0	7.1	13.3	33.3
None .....	20.0	0.0	0.0	26.7	6.7
BUTTE* .....	(N=0) 0.0	(N=0) 0.0	(N=0) 0.0	(N=15) 100.0	(N=15) 100.0
Equal .....	0.0	0.0	0.0	40.0	66.7
Some .....	0.0	0.0	0.0	26.7	26.7
Little .....	0.0	0.0	0.0	20.0	0.0
None .....	0.0	0.0	0.0	13.3	6.7
CALAVERAS .....	(N=15) 100.0	(N=15) 100.0	(N=9) 100.0	(N=15) 100.0	(N=11) 100.0
Equal .....	46.7	20.0	33.3	53.3	9.0
Some .....	33.3	40.0	33.3	26.7	27.3
Little .....	13.3	26.7	11.1	13.3	18.2
None .....	6.7	13.3	22.2	6.7	45.5
DEL NORTE .....	(N=15) 100.0	(N=15) 100.0	(N=14) 100.0	(N=13) 100.0	(N=15) 100.0
Equal .....	33.3	33.3	35.7	30.8	46.7
Some .....	33.3	6.7	21.4	30.8	33.3
Little .....	20.0	40.0	35.7	7.7	13.3
None .....	13.3	20.0	7.1	30.8	6.7
EL DORADO .....	(N=15) 100.0	(N=14) 100.0	(N=15) 100.0	(N=15) 100.0	(N=15) 100.0
Equal .....	53.3	57.1	60.0	66.7	66.7
Some .....	46.7	42.9	20.0	33.3	20.0
Little .....	0.0	0.0	6.7	0.0	6.7
None .....	0.0	0.0	13.3	0.0	6.7
GLENN .....	(N=15) 100.0	(N=15) 100.0	(N=15) 100.0	(N=15) 100.0	(N=14) 100.0
Equal .....	26.7	6.7	26.7	26.7	14.3
Some .....	53.3	73.3	53.3	33.3	35.7
Little .....	13.3	20.0	20.0	26.7	35.7
None .....	6.7	0.0	0.0	13.3	14.3
HUMBOLDT .....	(N=15) 100.0	(N=15) 100.0	(N=15) 100.0	(N=14) 100.0	(N=15) 100.0
Equal .....	60.0	20.0	40.0	35.7	66.7
Some .....	40.0	66.7	40.0	21.4	20.0
Little .....	0.0	13.3	13.3	21.4	0.0
None .....	0.0	0.0	6.7	21.4	13.3

\*Butte reported that no phase movement decisions were made during June, July, and August 1975.

SOURCE: Form B

<sup>6</sup>Fresno is deleted from this table because their program does not include phase movement of wards.

The results of the interviews, as depicted in Table 11, generally parallel the findings set forth above with respect to ward participation in the areas of case conferences, living rules, and phase movements. The response distributions to both questions indicate that ward participation was relatively high in Amador, Butte, and El Dorado and, on the other hand, was at a rather low level for Glenn, Fresno, and Calaveras.

TABLE 11  
WARD RESPONSES TO TWO QUESTIONS  
REGARDING PARTICIPATION IN DECISION MAKING  
(IN PERCENT\*)

QUESTION	TOTAL	AMADOR	BUTTE	EL DORADO	DEL NORTE	HUMBOLDT	GLENN	FRESNO	CALAVERAS
	N=71	N=10	N=10	N=10	N=10	N=10	N=6	N=5	N=10
To what degree do wards have a say about the way things are run on your living unit?		[1]	[2]	[3]	[4]	[5]	[6]	[7]	[8]
Lot/Quite a bit .....	31	60	50	40	30	20	0	17	10
Some .....	44	30	40	60	40	60	60	33	30
Not much/very little ...	25	10	10	0	30	20	40	50	60
How do you think most staff feel about letting wards participate in decision made here at O. H. Close?		[2]	[3]	[1]	[6]	[4]	[6]	[8]	[7]
Feel good about it .....	35	60	40	70	20	30	20	0	20
Don't mind .....	45	40	60	20	60	50	60	33	40
Don't like it .....	20	0	0	10	20	20	20	67	40

\*Numbers in brackets indicate rank order of living units based on proportionate responses included in the positive categories of ward participation in decision making. E.g., for Question 1, Amador and Butte rank 1 and 2 in proportions of responses falling within the positive categories, while Fresno and Calaveras rank 7 and 8, respectively.

To illustrate these response patterns, some of the typical comments are as follows. On Amador, Butte, and El Dorado, sample responses to the first question

about ward participation were - "we have quite a bit of say," "lot of say" "we get to talk about it," or "some say." Concerning the second question on staff reaction, the typical responses for the same living units were - "staff like it," "they feel good about it," or "they don't mind it." In contrast, on Fresno and Calaveras, the typical responses to the first question were - "not very much say," "only on small things," or "we have some say but staff make the decision." On the second question, the pattern for these units was only slightly less clear: Not untypical were responses such as "they don't like it too much," "they don't care very much," or "too much of a bother to them." However, these were mixed with more positive comments such as "they feel all right about it," and "they want us to."

To summarize the foregoing findings, the living units were categorized in terms of high, medium, and low levels of ward participation based on the several areas of decision making.<sup>7</sup> As seen in Table 12, relatively high levels of participation were generally found for El Dorado, Butte, and Amador; medium levels for Del Norte and Humboldt; and comparatively low levels for Glenn, Fresno, and Calaveras. The units categorized in this manner will be used in the analysis to be presented in the next section.

<sup>7</sup> See Appendix B for definition of categories.

TABLE 12

O. H. CLOSE SCHOOL LIVING UNITS CATEGORIZED ACCORDING TO LEVEL OF WARD PARTICIPATION IN DECISION-MAKING BASED ON FOUR CRITERIA

LIVING UNITS	DECISION AREAS (Tables 8-10)									INTERVIEWS (Table 11)		
	CASE CONFERENCES			LIVING UNIT RULES			PHASE MOVEMENT*			HIGH	MED.	LOW
	HIGH	MED.	LOW	HIGH	MED.	LOW	HIGH	MED.	LOW			
El Dorado .....	XXX			XXX			XXX			XXX		
Butte .....	XXX			XXX						XXX		
Amador .....		XXX			XXX		XXX					
Del Norte .....		XXX			XXX			XXX			XXX	
Humboldt .....		XXX			XXX				XXX			XXX
Glenn .....			XXX			XXX						XXX
Fresno .....			XXX			XXX						XXX
Calaveras .....			XXX			XXX			XXX			XXX

\*Butte and Fresno could not be categorized on Phase Movement because data were not available for sufficient number of months.

## IMPACT MEASUREMENTS

To assess the probable impact of the participatory management system, the level of ward participation among the various living units was analyzed relative to several measures of program functioning. The latter measures were limited to those for which an appreciable association was found with participatory management, namely, incidence of minor disciplinary actions, frequency of lockups, and mean scores on subscales of the Correctional Institution Environment Scale.

Featured in Table 13 are trends in the incidence of reported minor disciplinary actions as compared to the levels of ward participation in decision making among the eight living units. It should be noted that comparisons in the frequency of disciplinary actions between units would be of questionable validity because of procedural differences in the extent to which minor behavioral infractions are reported among the units. However, it is reasonable to assume that standards for reporting the infractions within a living unit were consistent during the study period, so that an analysis can be made of these trends for each unit.

Inspection of Table 13 brings to light an interesting relationship. It appears that high levels of ward participation are associated with generally decreasing trends in minor disciplinary actions, whereas, low levels of participation are related to increasing or fluctuating trends. Thus, El Dorado, Butte, and Amador, which were previously shown to have high levels of ward involvement in decision making, consistently show decreasing trends in disciplinary actions, while the reverse relationship is apparent for Fresno and Calaveras, the units with low levels of ward participation.

TABLE 13

NUMBER OF MINOR DISCIPLINARY ACTIONS, BY LEVEL OF WARD PARTICIPATION  
IN DECISION MAKING AMONG LIVING UNITS  
JUNE 1975 THROUGH OCTOBER 1975

LEVEL OF WARD PARTICIPATION BY LIVING UNIT	TREND	JUN	JUL	AUG	SEP	OCT
TOTAL .....	Decreasing	874	858	715	840	789
High Ward Participation						
El Dorado .....	Decreasing	130	76	56	26	68
Butte .....	Decreasing	163	118	41	41	80
Amador .....	Decreasing	82	73	46	41	44
Medium Ward Participation	Fluctuating					
Del Norte .....	Fluctuating	50	133	210	85	103
Humboldt .....	Fluctuating	203	130	179	279	180
Low Ward Participation						
Glenn .....	Fluctuating	120	146	86	106	72
Fresno .....	Increasing	9	6	12	17	19
Calaveras .....	Increasing	117	176	85	245	223

Table 14 displays trends in the frequency of wards placed in the lockup unit for minor as well as more serious kinds of behavioral infractions. Here again, the table compares trends over the study period among living units categorized by level of ward participation in decision making.

Although no strong relationship is evident, there is a suggestion in the table that a high level of participatory management is associated with declining trends in the number of wards sent to lockup. Thus, two of the three units with high ward participation reveal decreased lockups, while the units with medium and low levels of participation fail to show any clear trends.

TABLE 14.

NUMBER OF WARDS SENT TO LOCKUP UNIT BY LEVEL OF WARD PARTICIPATION  
IN DECISION MAKING AMONG LIVING UNITS  
JUNE 1975 THROUGH OCTOBER 1975

LEVEL OF WARD PARTICIPATION BY LIVING UNIT	TREND	JUN	JUL	AUG	SEP	OCT
TOTAL .....		126	94	44	63	83
High Ward Participation						
El Dorado .....	Decreasing	20	5	6	5	4
Butte .....	Fluctuating	6	7	6	3	7
Amador .....	Decreasing	21	22	5	4	7
Medium Ward Participation						
Del Norte .....	Fluctuating	24	10	2	3	21
Humboldt .....	Fluctuating	18	4	4	18	8
Low Ward Participation						
Glenn .....	Fluctuating	18	29	15	16	17
Calaveras .....	Fluctuating	19	17	6	14	19

Although not presented in this section of the report, two additional types of data were examined as possible indicators of impact exerted by the participatory management system (see Appendix C). One body of data pertains to the number of calls for assistance from security staff among the living units during the period June to October 1975, by which time all units had completed training in participatory management. The second set of data relates to the number of grievances filed by wards during the same period. Both sets of data were analyzed with reference to living units categorized according to "high", "medium", and "low" levels of ward participation in decision making, as defined earlier. Analysis of these data did not disclose any systematic relationship between level of ward participation in decision making and either the number of calls for assistance from security staff or the number of grievances filed among

living units during the period under consideration. In this regard, it is important to note that the unit in which the largest number of grievances were filed was also the unit categorized as having a "high" level of ward participation. This result would seem to contradict the notion that an open, well functioning unit does not have many grievances filed by its wards.

From another perspective, it can be asked to what extent the living units with relatively high levels of ward participation in decision making, as compared to units with relatively low levels manifested improvement in social climate based on measures of the Correctional Institution Environment Scale. To shed light on this question, the living units with "high", "medium", and "low" levels of participation were compared on the number of subscales which showed positive or negative shifts between testing periods.<sup>7</sup> The results, as summarized in Table 15, reveal an interesting pattern. Over the testing periods 1-2 (before training and upon completion of training in participatory management), the living units with high levels of participation generally displayed significant positive increases on more subscales than did the units with low levels of participation. A similar pattern is seen between testing periods 1-3 (before training and several months after completion of training), as well as between 2-3 (upon completion of training and several months thereafter).

<sup>7</sup> A more refined analysis utilizing analysis of variance is being considered for inclusion in a supplemental technical report.

TABLE 15

NUMBER OF SUBSCALES WITH POSITIVE/NEGATIVE SHIFTS ON CORRECTIONAL INSTITUTION ENVIRONMENT SCALE, BY TESTING PERIODS AND LEVEL OF WARD PARTICIPATION IN DECISION MAKING AMONG LIVING UNITS

TESTING PERIODS, BY LEVEL OF WARD PARTICIPATION AMONG LIVING UNITS	NUMBER OF SUBSCALES WITH:		NUMBER OF SUBSCALES WITH SIGNIFICANT:*	
	INCREASE	DECREASE	INCREASE	DECREASE
<b>TESTING PERIODS 1-2</b>				
High Ward Participation	<i>6**</i>	<i>3**</i>	<i>4**</i>	<i>.6**</i>
El Dorado .....	3	6	0	2
Butte .....	8	1	5	0
Amador .....	7	2	7	0
Medium Ward Participation	7	2	3	0
Del Norte .....	8	1	4	0
Humboldt .....	6	3	2	0
Low Ward Participation	<i>4.3</i>	<i>4.7</i>	<i>1.3</i>	<i>2</i>
Glenn .....	2	7	0	5
Fresno .....	4	5	1	1
Calaveras .....	7	2	3	0
<b>TESTING PERIODS 1-3</b>				
High Ward Participation	<i>6.3</i>	<i>2.6</i>	<i>4</i>	<i>.3</i>
El Dorado .....	3	6	0	1
Butte .....	8	1	7	0
Amador .....	8	1	5	0
Medium Ward Participation	<i>4.5</i>	<i>4.5</i>	<i>2.5</i>	<i>1.5</i>
Del Norte .....	6	3	1	3
Humboldt .....	6	3	4	0
Low Ward Participation	<i>4.6</i>	<i>4.3</i>	<i>1.3</i>	<i>2.6</i>
Glenn .....	2	7	0	7
Fresno .....	4	5	0	0
Calaveras .....	8	1	4	1
<b>TESTING PERIODS 2-3</b>				
High Ward Participation	<i>5.3</i>	<i>3.6</i>	<i>1.3</i>	<i>1</i>
El Dorado .....	6	3	1	1
Butte .....	7	2	3	0
Amador .....	3	6	0	2
Medium Ward Participation	3	6	.5	3
Del Norte .....	1	8	1	6
Humboldt .....	5	4	0	0
Low Ward Participation	<i>2.6</i>	<i>6.3</i>	<i>.6</i>	<i>1.3</i>
Glenn .....	2	7	1	3
Fresno .....	11	8	1	1
Calaveras .....	5	4	0	0

\*Data are based only on ward ratings, since no significant changes were found for staff ratings. See footnotes to Table 7.

\*\*Numbers in italics represent mean number of subscales with designated positive or negative changes between testing sessions.



Thus, it would appear that the units with high levels of participatory management, as compared to those with low levels, were more likely to show:

- 1) a more positive social climate upon completion of training in use of the management system, and 2) overall improvement in social climate from the point of time shortly before training began until several months after completion of training, and 3) gains in social climate for periods of six to eleven months following completion of training.

## CONCLUSIONS

The implementation of a Participatory Management System at O. H. Close School appeared to be a viable approach, as reflected overall by a relatively high level of ward participation. This conclusion is based on the finding that appraisals by the majority of both wards and staff indicate considerable equality in the degree of ward/staff participation in important areas of decision making affecting ward status in the institution.

There appeared to be some improvement in the functioning of the system over time. This was specifically evident by the higher ratings of the degree of ward participation during the last five months of the study period as compared to the first four months.

The findings further indicate that the Participatory Management System is associated with gains on measures of program efficacy. This generalization is based on the following findings:

- 1) As the degree to which ward participate in the decision-making process increased, the number of disciplinary actions decreased over the same period of time.
- 2) There was considerable variation in ward participation among living units, suggesting that the training was less effective on those units, and/or not intensive enough.
- 3) On those living units where the system was functioning at a relatively high level of ward participation, there was

a clear trend of declining disciplinary actions and lock-ups. This did not occur on those units where the system was operating at a lower level.

- 4) Positive perceptions of the institution's social climate generally increased after the implementation of the system and the increase was largely maintained several months later when followup questionnaires were administered.

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# APPENDIX A

## BRIEF DESCRIPTION OF THE CORRECTIONAL INSTITUTIONS ENVIRONMENT SCALE (CIES)

The CIES is a self-reporting, true-false questionnaire developed to measure selected environmental parameters of institutionally located correctional programs.<sup>8</sup> The 86 items of the instrument form nine subscales and are described in Exhibit 1.

The first three subscales of Involvement, Support, and Expressiveness are measures of relationship dimensions. They assess the extent to which wards tend to become involved in the program, the extent to which staff support wards and wards tend to support each other, and the extent of spontaneity and free and open expression within all these relationships. Thus, they focus upon the type and intensity of personal relationships among wards and between wards and staff which exist in the program.

The next three subscales, i.e., Autonomy, Practical Orientation, and Personal Problem Orientation, are measures of person development or treatment program dimensions. Each of these subscales assesses a dimension which is particularly relevant to the type of treatment orientation a program has initiated and developed. Autonomy assesses the extent to which wards are encouraged to be self-sufficient and independent and to take responsibility for their own

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<sup>8</sup>For a detailed review of the CIES, see Moos, D. H., Evaluating Correctional and Community Settings, John Wiley and Sons, 1975.

decisions. This is an important program variable and reflects a value orientation of staff. The subscales of Practical Orientation and Personal Problem Orientation reflect two major types of treatment orientations which are currently in use in institutions. Some programs place much emphasis on practical preparation for the ward's release from the institution, as in training for jobs, etc. On the other hand, some programs strongly emphasize a personal problem approach and seek to orient wards towards increased self-understanding and insight. It is, of course, possible for programs to emphasize both of these dimensions.

The last three subscales of Order and Organization, Clarity, and Staff Control measure system maintenance dimensions. These dimensions are system oriented in that they all are related to keeping the program functioning in an orderly, clear, organized, and coherent manner.

Examples of CIES items for each of the nine subscales are shown in Exhibit 2.

## Exhibit 1

### CIES SUBSCALE DESCRIPTIONS

- |                                  |   |
|----------------------------------|---|
| 1. Involvement                   | measures how active and energetic wards are in the day-to-day functioning of the program, i.e., interacting socially with other wards, doing things on their own initiative, and developing pride and group spirit in the program.                |
| 2. Support                       | measures the extent to which wards are encouraged to be helpful and supportive towards other wards, and how supportive the staff is towards wards.  |
| 3. Expressiveness                | measures the extent to which the program encourages the open expression of feelings (including angry feelings) by wards and staff.  |
| 4. Autonomy                      | assesses the extent to which wards are encouraged to take initiative in planning activities and take leadership in the program.   |
| 5. Practical Orientation         | assess the extent to which the ward's environment orients him towards preparing himself for release from the program. Such things as training for new kinds of jobs, looking to the future, and setting and working towards goals are considered. |
| 6. Personal Problems Orientation | measures the extent to which wards are encouraged to be concerned with their personal problems and feelings and to seek to understand them.   |
| 7. Order and Organization        | measure how important order and organization is in the program, in terms of wards (how they look), staff (what they do to encourage order) and the facility itself (how well it is kept).   |
| 8. Clarity                       | measures the extent to which the ward knows what to expect in the day-to-day routine of his program and how explicit the program rules and procedures are.  |
| 9. Staff Control                 | assesses the extent to which the staff use measures to keep residents under necessary controls, i.e., in the formulation of rules, the scheduling of activities, and in the relationships between wards and staff.                                |

## Exhibit 2

### EXAMPLES OF CIES SUBSCALES ITEMS

- |                                  |   |
|----------------------------------|---|
| 1. Involvement                   | "Wards put a lot of energy into what they do around here."<br>"Wards in this program care about each other."                              |
| 2. Support                       | "Staff have very little time to encourage wards."<br>"The staff help new wards get acquainted on the living unit."                        |
| 3. Expressiveness                | "Wards are encouraged to show their feelings."<br>"People say what they really think around here."  |
| 4. Autonomy                      | "Wards are expected to take leadership in this program."<br>"The staff gives wards very little responsibility."                           |
| 5. Practical Orientation         | "This program emphasizes training for new kinds of jobs."<br>"Wards here are expected to work towards their goals."                       |
| 6. Personal Problems Orientation | "Discussions in this program emphasize understanding personal problems."  |
| 7. Order and Organization        | "The staff make sure the living unit is always neat."<br>"The staff set an example for neatness and orderliness."                         |
| 8. Clarity                       | "If a ward's program is changed, someone on the staff always tells him why."<br>"Wards never know when a counselor will ask to see them." |
| 9. Staff Control                 | "Staff don't order wards around."<br>"All decisions about the program are made by staff and not by wards."                                |

The following definitions were used to categorize the units with reference to Tables 9 and 10:

- High Level - Unit's percentage of "Equal" participation ratings are greater than or equal to the total institution percentage for at least three of the five months.
- Medium Level - Unit's percentage of "Equal" participation ratings are greater than or equal to the percentage obtained for the total institution percentage for two of the five months.
- Low Level - Unit's percentage of "Equal" participation ratings are less than the total institution percentage for at least three of the five months.

## APPENDIX B

### CATEGORIZATION OF WARD PARTICIPATION AND DECISION MAKING

To facilitate the analysis pertaining to levels of ward participation in decision making among living units, the units were classified into "high", "medium", and "low" categories according to their proportionate response distributions over the five-month study period. The following definitions were used to categorize the units with reference to Table 8:

- High Level - Unit's percentage of "Equal" participation ratings are greater than or equal to the total institution percentage for at least three out of the five months. In addition, the unit's number of ratings are greater than or equal to the expected number (total responses for institution divided by number of living units) for at least three of the five months.
- Medium Level - Unit's percentage of "Equal" participation ratings as well as the total number of ratings, are greater than or equal to the percentage obtained for the total institution for two of the five months; or, one of the two criteria - percentage "Equal" ratings and total unit responses - are met for three of the five months.
- Low Level - Unit's percentage of "Equal" participation ratings are less than the total institution percentage for at least three of the five months. In addition, the unit's number of ratings are less than the expected number for at least three of the five months.

# APPENDIX C

TABLE C-1

NUMBER OF CALLS FOR ASSISTANCE FROM SECURITY UNIT  
 BY LEVELS OF WARD PARTICIPATION  
 IN DECISION MAKING AMONG LIVING UNITS  
 JUNE 1975 THROUGH OCTOBER 1975

LEVEL OF WARD PARTICIPATION AMONG LIVING UNITS	TOTAL	JUN	JUL	AUG	SEP	OCT
TOTAL INSTITUTION	502	126	108	68	74	126
High Ward Participation	(173)	(55)	(29)	(22)	(18)	(49)
El Dorado .....	67	24	9	9	5	20
Butte .....	41	13	6	6	4	12
Amador .....	65	18	14	7	9	17
Medium Ward Participa- tion	(126)	(28)	(26)	(7)	(25)	(40)
Del Norte .....	82	22	19	3	12	26
Humboldt .....	44	6	7	4	13	14
Low Ward Participation	(203)	(43)	(53)	(39)	(31)	(37)
Glenn .....	126	23	36	26	21	20
Fresno .....	9	1	3	12	1	2
Calaveras .....	68	19	14	11	9	15

TABLE C-2

NUMBER OF GRIEVANCES FILED BY LEVELS OF WARD PARTICIPATION  
IN DECISION MAKING AMONG LIVING UNITS  
JUNE 1975 THROUGH OCTOBER 1975

LEVEL OF WARD PARTICIPATION AMONG LIVING UNITS	TOTAL	JUN	JUL	AUG	SEP	OCT
TOTAL INSTITUTION	156	14	37	75	18	12
High Ward Participation	(73)	(8)	(22)	(25)	(10)	(8)
El Dorado .....	46	1	12	17	8	8
Butte .....	7	3	-	2	2	-
Amador .....	20	4	10	6	-	-
Medium Ward Participa- tion	(42)	(6)	(10)	(24)	-	(2)
Del Norte .....	6	1	4	1	-	-
Humboldt .....	36	5	6	23	-	2
Low Ward Participation	(41)	-	(5)	(26)	(8)	(2)
Glenn .....	20	-	2	15	2	1
Fresno .....	3	-	-	1	2	-
Calaveras .....	18	-	3	10	4	1

# APPENDIX D

(Col. 1-5)

REPORT ON DECISIONS

Form A  
1/75

This form is to be completed by each person involved in D.D.M.S., Day Pass, Rec. of referral to parole, Ward in C.C.C. and Grievance hearing decisions. For each of the following items check the appropriate box. You should check only one box per item. Please complete all items.

(Col. 6)

- HALL: 1.  Amador      3.  Calaveras      5.  El Dorado      7.  Humboldt  
2.  Butte      4.  Del Norte      6.  Fresno      8.  Glenn

(Col. 7)

- Item #1  
Check whether you are ward or staff:  
1.  Ward  
2.  Staff

(Col. 8-13)

- Item #3  
Date you completed this report:

Month    Day    Yr.

(Col. 14-19)

- Item #4  
Date decision was made:

Month    Day    Yr.

(Col. 20)

- Item #7  
Check the box which you feel most closely represents your opinion of how the decision was reached:
- The decision or decisions made were reached without much discussion or trying to find out how others felt. Staff decided what to do and then told the others involved.
  - Before the decision or decisions were made, questions were asked about it and the people involved had some chance to say how they felt. However, staff made the final decision themselves.
  - Before the decision or decisions were made, there was a lot of talk about what should be done. All people involved in the matter talked it over and had a chance to say how they felt. However, the final decision or decisions were made by the staff.
  - Everyone involved in making the decision or decisions were involved. Both wards and staff cooperated equally in deciding what should be done.



INSTRUCTIONS FOR FILLING IN THIS FORM

Fill in all items on the form.

(Col. 1-5) = Leave blank - for Research use only.

Hall = The appropriate living unit for the decision making process will be checked.

Item 1 = Check whether you are ward or staff: Check either ward or staff depending upon the person completing the form.

Item 2 = Type of Decision: Check one of the five boxes depending on the type of decision made.

Use 1 if a decision was made about a DDMS disposition through joint action by both wards and staff.

Use 2 if joint decisions involving wards and staff about day passes were made but not in Case Conference.

Use 3 if a recommendation is made at Case Conference concerning a freedom issue (referral, day pass, furlough, etc.).

Use 4 if wards sit as regular members of the Case Conference Committee and ratings are being made of decisions made by the Committee.

Use 5 if the matter involves a grievance hearing.

Item 3 = Date you completed this report: Enter the month, day, and year on which you are completing this form. All spaces must be filled in. For example, if the date is February 5, 1975, enter this as - 02 05 75.

Item 4 = Date decision was made: Enter the date on which the decision was actually made. Usually this will be the same date as for Item 3. Again, fill in all spaces.

Item 5 = Number of staff participating in decision: Check the appropriate box for the number of staff participating in that decision. For example, if there were no staff participating in that particular decision then box #1 would be checked.

Item 6 = Number of Wards participating in decision: Check the appropriate box for the number of wards participating in that decision. For example, if there are two wards sitting on the grievance committee and you are evaluating the decision making process of that committee then box #3 would be checked.

Item 7 = Check the box which you feel most closely represents your opinion of how the decision was reached: Considering the way in which the decision was reached or the series of decisions were reached during a particular meeting, the appropriate box should be checked. If evaluating only one decision, select the choice that most closely represents, in your opinion, how that decision was made. If you are evaluating more than one decision, choose the one that fits the way most of the decisions were made.

Hall \_\_\_\_\_

Month \_\_\_\_\_

Check only one box for each question.

Check whether you are ward or staff:

1.  Ward

2.  Staff

QUESTION #1

Thinking back over the last month, how were most decisions made concerning hall policies?

- 1. Staff usually made the decision and then they told the wards. I and other wards had little or no say in what happened. We were only told after the decision was made.
- 2. Before the decision was made there was some talking with wards about what should be done. Staff asked some questions about how we thought it should be and then they decided what to do.
- 3. Before any changes were made, there was a lot of talk between wards and staff about what should be done. I or other wards had a chance to say how we felt. However, staff made the final decision about how things would be.
- 4. Both ward and staff worked together in deciding on new policies or changing old ones. Both wards and staff had equal say in how things would be.

QUESTION #2

Thinking back over the last month, how were most decisions made concerning which program phase wards would be in?

- 1. Decisions about which phase a ward should be in were usually made by staff. Wards had little if any say about it.
- 2. Before decisions were made about wards, there was some talking between wards and staff and some questions asked. However, the decisions were really up to staff.
- 3. Before any changes were made about the phase a ward was in, both wards and staff had a chance to talk it over and share their feelings. However, the final decisions were still up to staff.
- 4. Both wards and staff got together and cooperated in deciding questions about phase movement. Both wards and staff had an equal chance to share in the decisions that were made.

INSTRUCTIONS - for completing Form B - Hall Policy and Phase Movement Decisions.

Sometime during the third full week of each month, the Social Worker on each hall will contact every fifth ward on the Hall Roster and four staff members (Senior Youth Counselor, Lead Teacher and two Youth Counselors) and have each person complete DIG Form B. The Social Worker will also complete the form. A total of 10 wards and 5 staff on each hall should complete the forms each month. The ward should have privacy in filling out the form and the replies kept confidential. All items should be filled in.

Once completed, the 15 forms (10 wards and 5 staff) should be forwarded to the Information Coordinator by no later than 5:00 P.M. on Friday of the third full week of each month.

LEVEL A D.D.M.S. REPORT FORM

Hall \_\_\_\_\_ Month \_\_\_\_\_

INSTRUCTIONS:

This form will be completed in duplicate each month by the Senior Youth Counselor. One copy will go to the TTS and one copy to the Information Coordinator's Office. Deadline will be 5:00 P.M. on the second working day following the end of the reporting period. The reporting period will be the calendar month.

The number of Level A D.D.M.S. actions in each of the following areas will be tabulated for the month and noted in the proper box:

Fight without injury: combat or physical struggle between two or more individuals where no injury occurs. Injury is where there is visible or medically defined trauma to the body.

Racial Agitation: Verbal or non-verbal expressions which are racial in nature and designed to elicit a negative emotional reaction from one or more persons.

Other non-self managing behavior: Any irresponsible behavior except those previously mentioned which result in Level A documentation and/or deprivation. Examples would be horseplay, out of bounds, etc.

Total Level A D.D.M.S. actions should be entered in the final box. This should be equal to the total of the first three boxes.

LEVEL A - Fights without Injury	
LEVEL A - Racial Agitation	
LEVEL A - Other non-self managing behavior	
TOTAL LEVEL A D.D.M.S.	

Prepared by: \_\_\_\_\_

Date: \_\_\_\_\_

**END**

7 *miss/more*